



**COUNTY GOVERNMENT SURVEY
HUMAN RESOURCES MANAGEMENT
SECTION**

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PLEASE REFER QUESTIONS TO:

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HUMAN RESOURCES MANAGEMENT

This section is designed to measure the effectiveness of your county's human resources management (HRM) system. Information regarding the structure of the HRM system, the degree to which it is integrated with other systems in pursuit of the county's mission, and the ability of HRM structures and procedures to adapt are emphasized.

BACKGROUND TO THE GOVERNMENT PERFORMANCE PROJECT

Since 1996, under the auspices of The Pew Charitable Trusts, the Maxwell School of Citizenship & Public Affairs at Syracuse University, in partnership with *Governing* magazine, has rated the management performance of local and state governments and selected federal agencies in the United States. The project, called the Government Performance Project (GPP), is administered by the Maxwell School's Alan K. Campbell Public Affairs Institute.

The project aims to improve the understanding and practice of government management throughout the United States on the city, county, state, and federal levels. It evaluates the effectiveness of management systems by considering government performance in five categories: financial management, human resource management, information technology, capital management, and managing for results. Each category is addressed by a separate section in this survey. For each category, governments are evaluated based on this survey, interviews, and an analysis of published documents.

While the project highlights overall management capacity, it focuses on the role of leadership, the integration of the five categories, as well as the communication of government performance issues to the citizenry.

In 1998 the project studied and rated government performance of the 50 states and 15 federal agencies. The results were published in the February 1999 issues of *Governing* and *Government Executive*. The results were also widely reported by leading print, radio, and television media.

In 1999 the project evaluated government performance in the top 35 U.S. cities by revenue and of five federal agencies. These results were published in the February 2000 issue of *Governing* and the March 2000 issue of *Government Executive*.

In 2000 the GPP reevaluated the 50 states and the results were published in the February 2001 issue of *Governing*. This year the GPP will evaluate 40 county governments.

The Maxwell School will add the data collected to its clearinghouse of information and continue to expand this resource of government management practices. Ultimately, government entities will have the opportunity to learn from one another and exchange valuable information through the efforts of this project.

GPP CONTACT PERSON

For more information on the GPP, please visit our website at: www.maxwell.syr.edu/gpp. If you have any questions regarding this survey or the GPP in general, please direct your inquiries to Anthony Stacy, at gpp@maxwell.syr.edu or 315-443-9707.

HUMAN RESOURCES MANAGEMENT EVALUATION CRITERIA:

1. Government conducts strategic analysis of present and future human resource needs.
 - Government has sufficient data about its workforce to support analysis.
 - Government plans ahead to meet its future workforce needs.
2. Government is able to obtain the employees it needs.
 - Government hires employees in a timely manner.
 - Government managers have appropriate discretion in the hiring process.
 - Government conducts effective recruiting efforts.
 - Government hires appropriately skilled and qualified employees.
3. Government is able to maintain an appropriately skilled workforce.
 - Government conducts appropriate training to develop and maintain employee skills.
 - Government is able to retain skilled and experienced employees.
 - Government is able to discipline employees.
 - Government is able to terminate employees.
4. Government is able to motivate employees to perform effectively in support of the government's goals.
 - Government is able to reward superior performance through pay and other cash and non-cash incentives.
 - Government is able to evaluate the performance of its employees effectively.
 - Sufficient opportunity for employee feedback exists.
 - Government is able to maintain productive labor-management relations.
5. Government has a civil service structure that supports its ability to achieve its workforce goals.
 - Government's classifications system is coherent and of the appropriate size.
 - Government personnel policies permit appropriate flexibility in the civil service and pay structures.
 - Government's human resources goals and policies are communicated to employees.

DEFINITIONS OF TERMS USED IN THIS SURVEY:

Bonus: Performance-based pay that does not increase an employee's base salary.

Civil servants: Individuals whose entry into government is based on merit criteria rather than political considerations, and who have the protections of some formal personnel rules governing hiring, firing, reward, and discipline. In this survey, the terms "civil servants" and "classified employees" are synonymous.

Classified employees: Persons whose positions have formal (legal) civil service protections.

Competency pay: Pay determined by the competencies an employee has or obtains.

Department: Any administrative subdivision or unit of government (also in some cases called a board, bureau, commission, department, etc.) having the primary purpose of executing some governmental functions or laws.

Gain sharing: Distribution of gains realized from improving performance and/or controlling costs to groups and/or teams of employees.

Part-time employees: Persons who work less than 35 hours per week.

Pay for performance: Performance-based increases to an employee's base salary.

Performance appraisal: An evaluation of an employee's progress or lack of progress measured in terms of job effectiveness.

Position classification: The clustering of government jobs according to their nature, qualifications required, duties performed, and responsibilities assumed.

Skill pay: Pay determined by the amount of knowledge or skill level of an employee.

Temporary employees: Persons hired for a limited duration (usually less than one year).

Workforce planning: A systematic assessment of county workforce content and composition that determines what actions the county needs to take to respond to future needs of county government. The planned steps may depend on both external factors (e.g. skill availability in the labor market) and internal factors (e.g. age and competencies of the county workforce). The analysis is used to plan whether future skill needs of county government will be met by recruiting employees, by promoting employees, by training employees, or by using a contractor.

INSTRUCTIONS FOR COMPLETING THE SURVEY ELECTRONICALLY:

This document is a Microsoft Word form. A form is a structured document with spaces reserved for entering information. This survey, containing check-boxes and fill-ins, can be viewed and completed in Word.

- *To check a box:* Use your mouse to move the arrow over the box you want to check and click once. To uncheck the box, click again.
- *To enter text in a fill-in box:* Move your mouse over the gray box. The arrow will change to a cursor. Click once to highlight the box. Begin typing. All fill-ins have unlimited capacity.

To enable electronic completion, the file has been password protected. Text can only be written in fill-in boxes. To provide comments on a question, include a separate page of comments with reference to the question number.

If you encounter difficulties completing the survey electronically, you may contact the project manager at (315) 443-9707 for troubleshooting assistance. The document can also be printed and filled in manually.

PLEASE SUBMIT THE FOLLOWING DOCUMENTS AND INFORMATION WITH THE SURVEY:

(Note: If these materials are available online, you may simply identify the URL at which they may be found.)

- ☒ Human resources management regulations, policies, and procedures (including but not limited to classification, hiring, discipline, performance appraisals, grievances, training, and termination) (A)

Employee Merit System Rules - ebc.maricopa.gov/pp/hr/tocs/EmpMerit_TOC.asp

**Law Enforcement Officers Merit System Rules -
ebc.maricopa.gov/pp/hr/tocs/LawMerit_TOC.asp**

**Judicial Merit Rules -
www.superiorcourt.maricopa.gov/hr/job_query.asp?categoryf=Court**

Ethics Handbook - ebc.maricopa.gov/Library/ethics/pdf/ethics_handbook.pdf

HR 2401 Informal/Formal Discipline - ebc.maricopa.gov/pp/hr/tocs/Admin_TOC.asp

**HR 2402 Predisciplinary Action Hearing -
ebc.maricopa.gov/pp/hr/tocs/Admin_TOC.asp**

HR 2403 Reductions in Force - ebc.maricopa.gov/pp/hr/tocs/Admin_TOC.asp

HR 2404 Referral Placement Program - ebc.maricopa.gov/pp/hr/tocs/Admin_TOC.asp

**HR 2405 Employee Concerns Resolution Program -
ebc.maricopa.gov/pp/hr/tocs/Admin_TOC.asp**

**HR 2406 Workplace Professionalism: Avoiding Harassment & Discrimination -
ebc.maricopa.gov/pp/hr/tocs/Admin_TOC.asp**

HR 2407 Drug Free Workplace - ebc.maricopa.gov/pp/hr/tocs/Admin_TOC.asp

HR 2408 Violence in the Work Place - ebc.maricopa.gov/pp/hr/tocs/Admin_TOC.asp

HR 2409 Teleworking - ebc.maricopa.gov/pp/hr/tocs/Admin_TOC.asp

HR 2410 Transitional Duties - ebc.maricopa.gov/pp/hr/tocs/Admin_TOC.asp

**HR 2413 FMLA-Approved Leaves of Absence -
ebc.maricopa.gov/pp/hr/tocs/Admin_TOC.asp**

HR 2414 Ergonomic Training and Work Analysis -
ebc.maricopa.gov/pp/hr/tocs/Admin_TOC.asp

HR 2416 Pay Differentials - ebc.maricopa.gov/pp/hr/tocs/Admin_TOC.asp

HR 2417 Military Leave - ebc.maricopa.gov/pp/hr/tocs/Admin_TOC.asp

A2313 General Travel Guidelines - ebc.maricopa.gov/pp/admin/pdf/a2313.pdf

Leave Plan - ebc.maricopa.gov/pp/hr/pdf/leave.pdf

Compensation Plan - ebc.maricopa.gov/pp/hr/pdf/compensation_plan.pdf

Compensation Related Forms - ebc.maricopa.gov/management/hr/

Payroll/Employee Records Web Site for Employment , Payroll Forms and Guidelines -
ebc.maricopa.gov/HR

Know Your Benefits -
www.maricopa.gov/benefits/pdf/current_benefit_plan_booklet.pdf and
ebc.maricopa.gov/benefits/pdf/current_benefit_plan_booklet.pdf

CIGNA - www.maricopa.gov/benefits/default.asp?link=cigna and
ebc.maricopa.gov/benefits/default.asp?link=cigna

Health Select - www.maricopa.gov/benefits/default.asp?link=healthselect and
ebc.maricopa.gov/benefits/default.asp?link=healthselect

United Concordia Dental - www.maricopa.gov/benefits/default.asp?link=concordia and
ebc.maricopa.gov/benefits/default.asp?link=concordia

Protective Dental - www.maricopa.gov/benefits/default.asp?link=united and
ebc.maricopa.gov/benefits/default.asp?link=united

Health Care Rates - www.maricopa.gov/benefits/default.asp?link=rates and
ebc.maricopa.gov/benefits/default.asp?link=rates

Healthy Links - www.maricopa.gov/benefits/default.asp?link=health_info and
ebc.maricopa.gov/benefits/default.asp?link=health_info

Mariflex Flexible Spending Accounts -
www.maricopa.gov/benefits/default.asp?link=mariflex and
ebc.maricopa.gov/benefits/default.asp?link=mariflex

Retirement/Deferred Compensation -
www.maricopa.gov/benefits/default.asp?link=retirement and
ebc.maricopa.gov/benefits/default.asp?link=retirement

Disability - www.maricopa.gov/benefits/default.asp?link=disability and ebc.maricopa.gov/benefits/default.asp?link=disability

Life Insurance - www.maricopa.gov/benefits/default.asp?link=life and ebc.maricopa.gov/benefits/default.asp?link=life

Important Phone Numbers - www.maricopa.gov/benefits/default.asp?link=phone and ebc.maricopa.gov/benefits/default.asp?link=phone

Benefits Newsletters and Announcements - www.maricopa.gov/benefits/default.asp?link=news and ebc.maricopa.gov/benefits/default.asp?link=news

Forms - www.maricopa.gov/benefits/default.asp?link=forms and ebc.maricopa.gov/benefits/default.asp?link=forms

Archives - www.maricopa.gov/benefits/default.asp?link=archive and ebc.maricopa.gov/benefits/default.asp?link=archie

Attachments:

Attachment HR-Document/Information Requested (A)-1: "Know Your Benefits" brochure

Attachment HR-Document/Information Requested (A)-2: "What's New for 2001?" benefit information

Attachment HR-Document/Information Requested (A)-3: 2001 Open Enrollment Poster

Attachment HR-Document/Information Requested (A)-4: 2001 Hospital Reimbursement Information

Attachment HR-Document/Information Requested (A)-5: Payroll Liaison Handbook

Attachment HR-Document/Information Requested (A)-6: County Payroll Procedure Book

Attachment HR-Document/Information Requested (A)-7: Inprocessing Guide

Attachment HR-Document/Information Requested (A)-8: Outprocessing Guide

Attachment HR-Document/Information Requested (A)-9: Maricopa County Employee Compensation Plan Draft Revisions

Attachment HR-Document/Information Requested (A)-10: Maricopa County Flexible Work Schedule Reference Guide

**Attachment HR-Document/Information Requested (A)-11: Maricopa County
Ergonomics Program**

☒ Copies of any laws that govern your civil service system or structure (B)

**Attachment HR-Document/Information Requested (B)-1: Arizona Revised Statutes
Annotated, Constitution of the State of Arizona, Article XXV. Right to Work**

**Attachment HR-Document/Information Requested (B)-2: Arizona Revised Statutes
Annotated, Title 11. Counties. Chapter 2. Board of Supervisors. Article 10.
County Employee Merit System**

**Attachment HR-Document/Information Requested (B)-3: Arizona Revised Statutes
Annotated, Title 38. Public Officers and Employees. Chapter 3. Conduct of
Office. Article 7. Civil Service Preference for Veterans**

**Attachment HR-Document/Information Requested (B)-4: Arizona Revised Statutes
Annotated, Title 38. Public Officers and Employees. Chapter 7. Merit Systems.
Article 1. Law Enforcement Officers Merit System**

☒ Human resources strategic plan (C)

**Attachment HR-Document/Information Requested (C)-1: Maricopa County Human
Resources Strategic Plan**

**Attachment HR-Document/Information Requested (C)-2: Maricopa Integrated Health
System Strategic Plan**

☒ Workforce plan (D)

**Attachment HR-Document/Information Requested (D)-1: Maricopa County
Workforce Planning Guide (draft)**

☒ Training catalogue (E)

**Attachment HR-Document/Information Requested (E)-1: Maricopa County Employee
Course Catalog**

☐ Classification scheme (F) -- N/A

☒ Compensation schedule (G)

**Attachment HR-Document/Information Requested (G)-1: Maricopa County Employee
Compensation Plan**

- ☒ Any studies or evaluations (such as performance audits) that relate to how your county carries out its human resources management **(H)**

Attachment HR-Document/Information Requested (H)-1: Maricopa County Internal Audit Department's Payroll System Audit, June 2000

- ☒ Organization chart for the human resources department **(I)**

Attachment HR-Document/Information Requested (I)-1: Maricopa County Human Resources Organizational Chart

- ☒ Annual report of the human resources department, if one exists **(J)**

Attachment HR-Document/Information Requested (J)-1: Maricopa County 1999/2000 Annual Report, Issued on behalf of the Merit Commissions of the Employee Merit System and Law Enforcement Officers Merit System

- ☒ Any web sites at which employees can access information about your county's human resources policies **See listing provided on page 6 - 8.**

PLEASE ANSWER THE FOLLOWING QUESTIONS ABOUT HUMAN RESOURCES MANAGEMENT IN YOUR COUNTY:

1. In the table below, please indicate about how many employees your county had in the following categories for the past two fiscal years:

Classified: Persons whose positions have formal (legal) civil service protections

Part-time: Persons who work less than 35 hours per week

Temporary: Persons hired for a limited duration (usually less than one year)

YEAR	CLASSIFIED		NON-CLASSIFIED		TEMPORARY	TOTAL EMPLOYEES
	Full-time	Part-time	Full-time	Part-time		
Current	11,774	535	1,595	1,164	872	15,940
FY2000	11,438	566	1,549	1,040	1,142	15,735
FY1999	10,995	562	1,513	918	1,024	15,015

2. Please provide the following information about your county's workforce:

- a. Average age of your county's workforce: 43
- b. Number of employees at the top of their salary grade: 781
- c. Average salary of full-time, classified employees: \$ 16.35 per hour
- d. Average salary of full-time, non-classified employees: \$ 31.04 per hour
- e. For classified employees, average number of years of employee service to your county government: 6.91
- f. Retirement eligibility age: See Attachment HR-2.f.-1
- g. Total number of classified positions in 2000: 13,490
- h. Total number of non-classified positions in 2000: 5,944
- i. Total number of classified positions in 1999: 12,443
- j. Total number of non-classified positions in 1999: 5,399

3. How many employees left your county government workforce in each of the past two years? (Note: *Please do not include temporary employees in these figures.*)

FY	VOLUNTARILY (not retirement)	IN-VOLUNTARILY	BY RETIREMENT	TOTAL
2000	2,505	533	209	3,247
1999	1,964	369	169	2,502

4. How many classification titles does your county currently have? In 1997, Maricopa county implemented a new hybrid broadband compensation plan. At the time, Maricopa County's employee attrition rate averaged approximately 20% and was worsening. The separating employees appeared to be our highest performers. While factors other than compensation contributed to this dilemma, recently completed compensation studies clearly indicated that Maricopa County's rigid classification system was a significant part of the problem. In an attempt to provide county departments with greater flexibility, to reduce turnover, and reward high-performers, the Human Resource department recommended the adoption of a compensation system that would include attributes of both traditional classification systems and private-sector "broad-band" compensation strategies.

The resulting "Flexband" system described Attachment HR-4.-1 essentially replaced Maricopa County's system of roughly 1,400 classifications with a system comprised of three distinct elements: "bands"; "market ranges"; and "working titles." This arrangement was designed in order to serve three distinct purposes.

The eight "bands" -- administrative, technical, support services, professional, physician, supervisory, managerial, and upper management -- were established by the Board of Supervisors, and were principally for data analysis and communications purposes. Using the bands, communications can be directed to specific groups of employees, such as supervisors or managers -- a feat that was nearly impossible under the prior system. Likewise, band information provided the Human Resources Department with the data to facilitate demographic analysis and workforce planning.

"Market ranges" are the heart of the new system. They are established by the Human Resources Department under authority delegated by the Board of Supervisors to provide limitations on the department's discretion regarding pay practices. Salary adjustments for positions must be validated through the Office of Management and Budget, and be within the capacity of a department's adopted budget. All market ranges are assigned to one of the eight bands, and provide minimum and maximum allowable salaries based on the market range. Another major innovation of the new system was that, unlike our prior system, market range minimums and maximums are determined based on "average actual" compensation instead of an artificially determined percentage spread off of mid-point. This ensures that market minimums represent more realistic starting salaries, and that the maximums are likewise closer to top salaries paid in the actual marketplace. Additionally, the Human Resources Department provides departments with guidance on the placement of employees within the applicable ranges based on performance, experience, and internal equity as illustrated in the Compensation Matrix, Attachment HR-4.-2.

Finally, "working titles" are the names given by departments to individual positions. Classification names do not always adequately reflect the specific nature of jobs. The new compensation system was able to remedy this situation by simply allowing departments to call the position by the appropriate working title.

All County employees (both classified and unclassified) fall under the compensation system. Judicial Branch employees, in our court departments, are technically state employees. As a result, they fall under a separately-managed classification system which is similar to that of state employees. They utilize 190 classifications in that system.

In addition to the Judicial branch, there are 10 classification in use in the Sheriff's Office for sworn and detention officers. There are also 9 classifications utilized for Elected Officials whose salaries are set by statute.

While Maricopa County's compensation continues to be streamlined and improved, it has provided a considerable amount of flexibility to departments and has played a significant role in Maricopa County's dramatically improved employee attrition rate.

5. Does a single civil service classification system exist countywide?

☒ No ☐ Yes

6. Is there a separate classification system for at-will or non-civil service employees?

☒ No ☐ Yes

7. By which of the following is your county's civil service system governed?

☐ County statute

☐ County charter

☒ State constitution

☒ Other (Please specify: State Statutes: A.R.S. § 11-351, Arizona Revised Statutes Annotated, Title 11. Counties. Chapter 2 Board of Supervisors Article 10. County Employee Merit System described in Attachment HR-7.-1. A.R.S. § 38-1001, Arizona Revised Statutes Annotated, Title 38. Public Officers and Employees Chapter 7. Merit Systems Article 1. Law Enforcement Officers Merit System as described in Attachment HR-7.-2. County Board of Supervisor approved Employee Merit System Rules, Attachment HR-7.-3, and Law Enforcement Officers Merit System Rules, Attachment HR-7.-4.
_____)

8. Does your county use broad-banding for classifying any of the following?

- ☐ All employees
- ☐ All classified employees
- ☐ All non-classified employees
- ☐ Executives
- ☐ Managers

☒ Specific departments (*Please specify: All departments except those discussed below are broad-banded. Judicial Branch employees are technically state employees funded through Maricopa County.*)

☒ Specific classifications/occupations (*Please specify: All employees except Elected Officials, sworn and detention officers in the Sheriff's Office, and the employees of the departments in the Judicial Branch are broad-banded.*)

If your county has undertaken a pilot program in this area, please describe it.

In 1997, Maricopa County adopted a new classification and compensation strategy which replaced the existing structured and rigid classification system with eight broad-bands as described in the Proposal to Implement a New Compensation Plan, Attachment HR-8.-1. The new plan was not piloted in a specific department, but was rolled out for use countywide with the Maricopa Integrated Health System being implemented slightly ahead of other departments. Within each broad-band, specific market ranges for individual jobs are developed by the Human Resources Department. These market ranges are based on average salary ranges within the relevant market in which the County competes for applicants. Each job analyzed has its own unique market range. Departments have the latitude to establish working titles for their positions and are encouraged to develop career and salary progression plans within the established market ranges for their employees. The recommended progression is based on a combination of quality of work performance and the attainment of specific competencies identified by the department as applicable to the job. The attainment of these competencies can be demonstrated through completion of coursework or training; qualification for certifications, licensures or registrations directly related to the job; demonstrated ability to perform higher more complex duties; etc. For a description see the Maricopa County Compensation Plan, Attachment HR-8.-2. For more information, see answer to question 4.

9. What obstacles does your county confront that prevent the classification system from working at an optimal level?

Since Maricopa County's classification and compensation system is more akin to that of a private sector organization than that of other governments, our answer to this question is probably going to be somewhat unusual. Unlike typical governmental classification systems designed to emphasize cross-departmental parity, Maricopa County's system

gives departments a comparatively high degree of discretion in setting pay rates within the market ranges established by the Human Resources Department. As a result, the most significant challenge facing Maricopa County is an atypical one: controlling “internal” rather than “external” turnover; i.e., finding appropriate means to limit a department's ability to entice qualified employees away from other departments. This is a particularly acute issue with internal service departments, such as the Office of Management and Budget and Finance Department, where knowledge of internal systems operations is a highly-valued commodity. To address this issue, many departments like the Office of Management and Budget, have adopted internal compensation strategies that offer salary advancement predictability to their staff, often times discouraging job movement.

Finally, another major challenge is to simplify the demand placed on the administration of our system. Under our new classification & compensation system, departments are permitted to submit requests for salary increases and working title market reviews at any time throughout the year. As a result, the workload placed on the Human Resource's Compensation Division is a heavy one, and providing timely responses to departments has been difficult. Over 1,400 market reviews have been completed since 1997. We are continuing to work toward a more streamlined process that will allow for adequate review time while still meeting department expectations. A change to the classification system which will reduce the number of working titles is being developed, and will be introduced in fiscal year 2001-02.

10. Please describe any changes or innovations in your county's classification system since 1999.

In FY 2001-02, Maricopa County will be fine-tuning our classification strategy to better categorize the current working titles by common job duties. This will reduce the number of active working titles and will allow better countywide job definitions.

In January of 2000, Maricopa County joined with the other counties in the Arizona Association of Counties to begin development of a web-based job description and compensation program called HR WebSuite, Attachment HR-10.-1. This will allow us to easily locate similar job descriptions for use in Maricopa County.

The JobScript component of HR WebSuite is a job description development tool that currently has over 20,000 duty and requirement statements in its database to help create and customize both job descriptions and class specifications. With this tool, the County will develop job descriptions for all employees as part of the Managing For Results Strategic Planning process. Central Human Resource's Compensation Services is developing training and has scheduled a September 2001 implementation.

11. In the table below, please indicate what percentage of each type of employee is covered by each of the compensation systems.

COMPENSATION SYSTEM:	Senior Executives	Classified Employees	Managers	Total Workforce
Graded system	%	%	%	%
A market-based system	%	%	%	%
A pay banding system	%	%	%	%
Skill-based pay	%	%	%	%
Pay for performance	%	%	%	%
Other: <u>Our compensation plan is a blend of several systems. Please see attachment (HR-11.-1) for a detailed explanation.</u>	100%	100%	100%	100%

12. What obstacles does your county confront that prevent the compensation system from working at an optimal level?

Our compensation plan's flexibility has allowed us to overcome many obstacles; however, compensation strategies adopted by individual departments may vary, sometimes creating minor inequities among departments.

In addition, Maricopa County is entering the final phase of a five-year strategy to bring employee compensation within 5% of the average market midpoint. To achieve this goal, Maricopa County has found it necessary to invest over \$20 million a year in new funding into our compensation system. On average, approximately 5% was added to the salary base in each of the last three years. The increases were not applied across the board. Some positions required adjustments of over 20% while others needed no adjustment to retain market parity. An example of how this strategy was accomplished, and how individual salary increases were determined is included as Attachment HR-12.-1, for our Department of Medical Eligibility. This has resulted in significant salary increases for a broad range of employees countywide. However, as the five-year strategy comes to a close, the economy is slowing and the County's attrition rate is now below 10%, funding of market issues is expected to lessen considerably in the future. Our concern is that the salary increase expectation of individual employees will not

similarly diminish. We anticipate, and are currently planning for, additional employee and management education efforts to avoid this result.

Legal interpretations of A.R.S. § 38-601 have, until recently, limited the County's ability to provide lump sum performance awards by defining awards based on past performance as gifts or as unallowable additions to the legal salary. The County has for several years used a program of incentive awards designed to encourage and improve future performance. A recent broader interpretation of A.R.S. § 38-601 has allowed the County to begin development of a program to recognize past performance through several mechanisms, including lump sum awards. The County is planning on replacing the current program with this broader interpretation.

The County's technology system does not currently contain all of the data that needs to be tracked. Although we can perform our market analysis off-line, the system is not capturing market information for each working title. On-going system modifications, and changes being developed for the broad-banding classification system, will provide the needed market-based detail.

13. Please describe any changes or innovations in your county's compensation system since 1999.

Maricopa County believes compensation is more than just the salary of employees. Total employee compensation includes: base salary, incentives, insurance benefits, skill-based pay, and paid time off. All are addressed in this section.

In fiscal year 1998-99, the Maricopa County Board of Supervisors recognized compensation as an important budget priority. Compensation has remained a budget priority for four years. Since the inception of the new broad-banding compensation plan, turnover has been reduced from 19.2% to 9.4%. At the beginning of this fiscal year, the average salary for Maricopa County employees was approximately 92% of the average midpoint.

For the past five years, the County has had an incentive program in place. The "Share the Savings 2001" program allows departments to recognize employees who have consistently met or exceeded their performance goals, and to encourage continued high performance levels throughout the upcoming year. Department eligibility requirements include meeting the overall budget target, completion of a strategic plan, and use of the

"Managing for Results" template. Tying compensation to our Countywide "Managing for Results" policy illustrates to the employees the importance of participation in this initiative.

The Share the Savings awards have produced terrific programs that are individualized department by department. One example is in Internal Audit. The Internal Audit Department uses an Academy Awards event to present their Share the Savings and employee recognition. In addition to a financial award that is given across the department for productivity, individual employees are recognized with the following awards: Sparkplug Award for boosting morale; a Hang in There Award for perseverance; a Nerd Award for the highest score on a project evaluation; a Behind the Scenes Award for actors in a supporting role; a You Do Us Proud Award for department recognition; the At Least We're Looking Award for the highest potential recovery and: the Show Me the Money Award for the highest actual recovery.

The County is currently in the process of drafting revisions to the Maricopa County Employee Compensation Plan to allow implementation of new and innovative methods to compensate employees. The largest change is the addition of Temporary Salary Advancements. The temporary salary advancements will increase an employee's base pay rate for a defined period of time. It will be used by departments on a case-by case basis to reward employee performance. This new flexibility will give more compensation options to departments as described in the Employee Compensation Plan Revisions, Attachment HR-13.-1.

The County's benefit plan has had significant improvements since 1999. One of the big changes is the introduction of three levels of health plans: high, mid, and base plan options from the one plan previously offered. The County increased the employer share of contributions for family coverage from 65% to 71%. Maricopa County is now covering one times the annual salary for life insurance coverage up to \$300,000. Previously the coverage cut-off was \$40,000. Other minor plan changes include: enhancement to the vision plan, increased Accidental Death and Dismemberment, short-term disability benefit increases. To improve customer service, an internet-based open enrollment process was introduced in 1999.

In July of 1999, Maricopa County implemented a multi-lingual pay differential for employees who are required to use a second language in the performance of their duties as described in HR2416, Pay Differential, Attachment HR-13.-2. A multi-lingual pay differential may be requested by an appointing authority at one of two levels of competency, associate or journey. To qualify for the differential, an employee must utilize a second language at least 5% of the work time for the associate level. Employees achieving the journey competency must utilize a second language at least 25% of the work time, and receive certification for proficiency in the second language.

Another component of the overall compensation package for employees is their paid time off. Our new employee leave plan has been rated as one of the best in Arizona according to the 1998 Watson Wyatt Comparison Study, Attachment HR-13.-3. The

employee leave plan was reformed in response to negative employee satisfaction scores. Specifically, employees indicated that the previous plan was inflexible, and did not permit them to appropriately balance their work and family lives. Management team members complained about the plan, indicating that it seemed to encourage the abuse of sick time. Maricopa County was also beginning to see an increasing trend in the number and complexity of employee claims under the Family & Medical Leave Act (FMLA) since the leave plan did not adequately track employee FMLA utilization.

At the request of the Human Resources Department, an employee group was convened in late 1996, and assigned the task of recommending changes to the county's leave plan. The resulting recommendation was truly an innovative one. Under the previous plan, a new County employee would accrue approximately 10 days of "vacation" and 10 days "sick" leave over the course of a year. (These amounts both increased with seniority.) If an employee accrued, but was unable to use, more than 240 hours of vacation leave, it was forfeited at the end of the calendar year. The new plan replaced these two categories with new categories for "personal" and "family/medical" leave. As the name suggests, family/medical leave could only be used for circumstances that fall within the FMLA's guidelines, and given this, accrued approximately 50% more slowly. In turn, personal leave was changed to accrue approximately 50% more quickly. This change was in recognition of the fact that personal leave would now also be used for minor illnesses not covered under the FMLA. The proposal also recommended that personal leave accrued over 240 hours not be forfeited, but rather be "rolled over" into the family/medical leave bank. The plan was designed to give employees more control over the use of their paid time off. Finally, the accrual levels are based not on seniority, but rather based on time within the applicable retirement system. This permits departments to attract employees from other public employers because they would be given credit toward their leave accrual rate for their experience with the prior public sector employer. Thus, an employee coming from a local city with 10 years of experience could immediately begin accruing leave at the rate of a 10-year County employee.

The new plan, adopted by the Board of Supervisors in 1997, has been well received by employees and has rewarded employees that do not abuse sick leave by allowing them to have use of a portion of that time through personal leave. Perhaps most remarkably, and in spite of a dramatically increasing national trend toward FMLA litigation, Maricopa County has not litigated any claims under the FMLA since the adoption of the new employee leave plan.

14. Please answer the following questions about your county's central Human Resource department or office:

- a. What is the mission statement of this department or office?

The mission of the Maricopa County Human Resources Department is to provide leadership and human resources systems and programs to officials, departments and agencies so that they can achieve their business goals.

- b. When was this mission statement last updated? (MM/YR) 10/00

- c. Please describe this department or office's role.

The role of central Human Resources (HR) is to provide policy development, guidance and processes for the recruiting and selection, well-being, development and benefit of employees so that they can effectively contribute to the mission of their department.

The Human Resources department has begun to transition from merely providing services to departments to one of taking an active partnership in the departments' business. The objective of this effort is for HR staff to help clients meet their business needs by approaching and resolving issues from a more strategic perspective and in addition to providing "transitional services".

The Human Resources department will be providing quality human resource consultants, both generalists and specialists, to County agencies and departments. Human Resources does have the capacity in terms of employee knowledge and skills to be able to deliver direct consulting services to departments and business units. HR consulting will be considered an integral part of the departments success.

- d. How is this department or office organized?

The central Human Resources department is organized by programs as identified in our Strategic Plan. The major program areas are: Workforce Planning, Business Performance, and Total Compensation as defined in the Human Resources Organization Chart, Attachment HR-14.d.-1.

- e. How many employees work for this department or office? 81
- f. Please describe how your county's central Human Resource department or office communicates its goals to county employees.

Central Human Resources takes advantage of many opportunities to communicate its goals and strategies to employees. A new employee's first experience is at New Employee Orientation (NEO), a half day session to acquaint all new employees with County policies and employee resources. Recently NEO has been redesigned to include a demonstration of the County's intranet site, the Electronic Business Center, (EBC) as another source for employee information. Currently, Human Resources has more that 30 different sites in the EBC Index.

Newsletters are also used to communicate to employees. HR issues are frequently featured in the monthly employee newsletter, Newslite, Attachment HR-14.f.-1, which is distributed to all employees with their paychecks. A bi-monthly newsletter of current Human Resources issues, The Jefferson Street Journal, Attachment HR-14.f.-2 is electronically distributed to department directors and HR liaisons for their information and sharing at department meetings.

Human Resources communicates its mission and goals through consultations with departments and through training on HR topics. HR staff also communicates information through the Annual County Employee Picnic; Fitness Evaluations; Job Fairs; Education Fairs; and Employeeentainment Festivals.

15. Please describe any recent reforms to your personnel or civil service system, particularly legislative or statutory changes or executive orders.

On December 15, 1997, the Board of Supervisors approved a major reform of the Employee Merit System rules for general County employees. The major changes included increased flexibility in the recruiting and certification processes and a complete

revision of Maricopa County's Leave Plan. The new leave plan represented the first major update in the leave of absence policy in almost thirty years.

16. Does your county's central Human Resources department or office have a strategic plan?

☐ No ☒ Yes If so, in what year was it adopted?

The first Strategic Plan was adopted in Maricopa County HR in 1992 and is revised annually. The latest version was adopted in 2000 see HR-Doc/Info Requested (C) -1, the Maricopa County Human Resources Strategic Plan.

Please attach a copy.

17. How often is the Human Resources strategic plan amended and/or developed?

- ☐ Currently under development
☒ Annually
☐ Biannually
☐ Every 3 years
☐ Every 4 years
☐ Other (Please specify: _____)

18. Please indicate who has primary responsibility for the following functions. (Please check all that apply. Also, for "Other," please specify.)

FUNCTION:	Central HR staff	Department managers	Contractor or vendor	Other
Workforce planning	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Bargaining with unions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> None
Administering labor contracts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> None
Determining compensation	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Developing performance appraisal instruments	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> Contract Management
Administering performance appraisals	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> Contract Management
Determining appraisal grading/scoring schemes	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> Contract Management
Establishing performance expectations	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Deciding timing of performance appraisals	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> HR required Annual Review
Developing classification system	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> Contract Management
Conducting job analysis	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Conducting job classification	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> Judicial Branch
Conducting job reclassification	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> Judicial Branch
Giving approval to fill positions	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> OMB
Advertising open positions	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> MIHS, Judicial, & MCSO
Developing recruitment plan	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> Contract Management
Implementing recruitment plan	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> Contract Management
Developing tests	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> MIHS
Administering tests	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> MIHS
Scoring tests	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> MIHS
Processing applications	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> MIHS
Screening application materials	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> MIHS
Ranking applicants	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> MIHS
Establishing list of qualified candidates	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> MIHS
Certifying qualified candidates	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> MIHS
Interviewing	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> Contract Management
Conducting reference checks	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> Contract Management
Recommending appointments	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> Contract Management
Making appointment decisions	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> Contract

				Management
Obtaining internal approvals to make offers	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> Contract Management
Determining promotions	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> Contract Management
Developing training and courses	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Delivering training	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Tracking training	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Evaluating training	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> Attendees

19. Please answer the following questions about workforce planning. (*Please refer to page 5 for a definition of “workforce planning” as it is used in this survey.*)

a. Which of the following best describes the nature of workforce planning efforts in your county?

- ☐ Our county has a *formal* countywide workforce plan approved by the county’s legislative body, chief elected official, or chief administrative official.
- ☐ Our county has a *formal* countywide workforce plan developed and used by the central Human Resources office.
- ☒ Our county has an *informal* countywide workforce plan developed and used by the central Human Resources office.
- ☐ County departments are required to develop workforce plans.
- ☐ Our county does not conduct central workforce planning.

b. If your county has a formal countywide workforce plan, what areas are covered? (*Please check all that apply.*)

- | | |
|--|--|
| <input type="checkbox"/> Staffing of current workforce | <input type="checkbox"/> Critical hiring areas (e.g., IT or Corrections) |
| <input type="checkbox"/> Age distribution of current workforce | <input type="checkbox"/> Downsizing requirements |
| <input type="checkbox"/> Demographics (e.g. gender, race, ethnicity, etc.) | <input type="checkbox"/> Recruiting plans |
| <input type="checkbox"/> Skills of current workforce | <input type="checkbox"/> Training plans |
| <input type="checkbox"/> Competencies of current workforce | <input type="checkbox"/> Compensation |
| <input type="checkbox"/> Retirement projections | <input type="checkbox"/> Turnover |
| <input type="checkbox"/> Succession plans | <input type="checkbox"/> Labor market skill availability |
| <input type="checkbox"/> Employee performance levels | <input type="checkbox"/> Average years of service of current |

- ☐ Short-term staffing needs
(1 year or less)
- ☐ Long-term staffing needs
(more than 1 year)

- workforce
- ☐ Federal occupational categories
- ☒ Other (*Please specify:* For over 15 years, the Human Resource department has consulted with each County department to identify resource and training needs, and to conduct recruitment forecasting. Attachment HR-19.b.-1 includes a few samples of the checklists utilized during these annual consultations. More recently, the Human Resources department has recognized the need to expand this consultative relationship to address the broader concept of workforce planning. A workforce planning guide has been developed in draft form and is included in HR-Doc/Info Requested (D)-1, Maricopa County Workforce Planning Guide. The draft guide is scheduled for distribution and discussion with County managers during the first quarter of FY 01/02.
- _____)

c. If your county has a formal countywide workforce plan, for how many years has your county conducted formal workforce planning at the central level? N/A

d. If your county does not conduct formal workforce planning at the central level, has it been identified as a need?

☐ No ☒ Yes

20. Does your county's central Human Resources department or office collect data about its performance or the outcomes of its efforts (such as how long it takes to fill vacant positions, how long it takes to resolve grievances, etc.)?

☐ No ☒ Yes ☐ A performance measurement system for human resources management is currently being developed.

If yes, in what year did it begin collecting such data? 1984 reflected in Attachment HR-20.-1.

Please attach a list of the type of data you collect.

21. Does your county have an integrated Human Resources Management Information Technology System? (By “integrated,” we mean a single system that performs multiple human resources management functions using common software and common data.)

☐ No If no, how many different IT systems are used for HR?

☒ Yes If yes, in what year was the system implemented?

HRMS-1994; STAR-1997 (MIHS)

☐ Currently being developed

What is the name of system? The County uses the Human Resources Management System (HRMS). Maricopa Integrated Health System (MIHS) procured a separate Hospital Finance/HR system, STAR, because the health care industry has differing needs from a typical government human resource management system. This complexity was not needed elsewhere in the County, so the Board of Supervisors allowed this individual system to be utilized.

Who is the system’s vendor? HRMS-Integral is the vendor. STAR-HBOC Company/Creative Solution Systems, Inc. is the vendor.

22. For which of the following areas is information available from your county’s Human Resources Information Technology System(s)? *(Please check all that apply.)*

☒ Compensation

☐ Employee feedback

☒ Benefits

☒ Training

- | | |
|---|--|
| <input checked="" type="checkbox"/> Hiring | <input checked="" type="checkbox"/> Position history |
| <input checked="" type="checkbox"/> Recruitment | <input checked="" type="checkbox"/> Payroll |
| <input checked="" type="checkbox"/> Applications | <input checked="" type="checkbox"/> Time sheets |
| <input checked="" type="checkbox"/> Testing | <input checked="" type="checkbox"/> Retirement dates |
| <input checked="" type="checkbox"/> Certified list development | <input checked="" type="checkbox"/> Incentive compensation |
| <input checked="" type="checkbox"/> Workforce planning | <input type="checkbox"/> Career paths |
| <input checked="" type="checkbox"/> Pensions | <input checked="" type="checkbox"/> EEO data |
| <input checked="" type="checkbox"/> Performance appraisals | <input type="checkbox"/> Workers' compensation claims |
| <input checked="" type="checkbox"/> Other (<i>Please specify: <u>HRMS-Compensation, Benefits, Hiring, Workforce Planning, Performance Appraisals, Payroll, Time Sheets, Retirement Dates, EEO Data, STAR-Compensation, Benefits, Hiring, Recruitment, Applications, Certified List Development, Position Hiring, Payroll, EEO Data</u></i>) | |

23. Which of the following recruiting techniques do you use? (*Please check all that apply.*)

- | | |
|--|---|
| <input checked="" type="checkbox"/> External job fairs | <input type="checkbox"/> Online resume banks |
| <input checked="" type="checkbox"/> Internal job fairs | <input checked="" type="checkbox"/> Commercial Internet sites |
| <input type="checkbox"/> Virtual job fairs | <input checked="" type="checkbox"/> 24-hour telephone job line |
| <input checked="" type="checkbox"/> Local newspapers | <input checked="" type="checkbox"/> Open houses |
| <input checked="" type="checkbox"/> National job fairs | <input checked="" type="checkbox"/> College site visits |
| <input checked="" type="checkbox"/> Online job posting | <input checked="" type="checkbox"/> On-site interviews |
| <input checked="" type="checkbox"/> Job bulletin | <input checked="" type="checkbox"/> Letter campaigns |
| <input checked="" type="checkbox"/> Trade publications | <input checked="" type="checkbox"/> Direct hires |
| <input checked="" type="checkbox"/> Professional association | <input checked="" type="checkbox"/> Walk-in job counseling |
| <input checked="" type="checkbox"/> Paying travel for interviews | <input checked="" type="checkbox"/> Radio advertisements |
| <input type="checkbox"/> Satellite offices | <input checked="" type="checkbox"/> Postings in community centers |
| <input type="checkbox"/> Professional recruitment firms | <input type="checkbox"/> Television advertising |
| <input checked="" type="checkbox"/> Full-time recruiters | <input type="checkbox"/> Relocation expenses |

24. Are applications for jobs in your county government available online?

☐ No ☒ Yes ☐ Currently being developed (*Projected completion date:*
Employment applications are available via the County's website at
www.maricopa.gov/human_resources/job_query_form.asp. Applications for the Superior
Court of Arizona, County of Maricopa jobs are available at
http://www.superiorcourt.maricopa.gov/hr/openjob_query.asp?categoryf=Court. Applications

for the Maricopa Integrated Health System are available at
<http://www.maricopa.gov/medcenter/employment/employment.html>.)

25. Can applications for jobs in your county government be submitted online?

☐ No ☒ Yes ☐ Currently being developed (*Projected completion date: _____*)

26. Please answer the following questions about positions and applications in your county government: (Note: *For this question, please report totals for the county, including positions and applications handled both by the central HR department or office and at the department level, if applicable.*)

- a. How many position requests were submitted to your central human resources office in FY2000? 7,523
- b. How many positions were open in your county government during FY2000? 7,523
- c. How many positions were open in your county government during FY1999? 6,732
- d. How many positions are currently open in your county government? 964
- e. How many job applications were submitted to your county during FY2000? 44,229
- f. If applicable, how many job applications were submitted online in FY2000? None, Implemented on June 15, 2001.

27. What obstacles stand in the way of your county's recruitment effort?

The unemployment rate in Maricopa County is approximately 3.1% according to the current State of Arizona employment statistics, Attachment HR-27.-1. This is compared to the national average of 4.3% according to the Bureau of Labor Statistics, Attachment HR-27.-2. This low unemployment rate, coupled with the increased demand for government services, requires that the County constantly reassess ways to simplify and streamline the recruiting and hiring processes.

Maricopa County must compete with the other employers for a limited number of skilled employees. In recent years, it has been difficult to recruit health care workers, attorneys, detention officers, and court positions. Competitive compensation for these specific job

categories is difficult since market compensation levels may change more frequently than our annual budget process allows us to react.

28. Please describe any changes or innovations in your county's recruiting programs since 1999.

In this region of low unemployment, rising salaries, and strong competition for applicants, Maricopa County has had to be more proactive in promoting itself as the employer of choice. To enhance its recruitment efforts, Human Resources has expanded the use of non-traditional recruiting sources. The employment application and related materials for open competitive jobs can be accessed from the County's Internet site, www.maricopa.gov/jobs. A list of internal job openings is available to employees via the County's Intranet site at ebc.maricopa.gov/internal/jobs. To make the application process convenient to all applicants, the County application form may be completed on-line and submitted electronically.

Central Human Resources has developed an abbreviated application form customized for specific unclassified jobs. This abbreviated form was used in recruiting such diverse positions as temporary office support and department directors. It has allowed for a faster review of the application and provided for the referral of candidates directly to the department, thereby eliminating the certification process.

The Fax-On-Demand program enables applicants to receive application materials via a fax machine. Applicants calling 602-506-1212 may receive a catalog of all County recruitments that are open to the public. The first step in using the Fax-On-Demand program is to request a catalog of available jobs described in Attachment HR-28.-1. Once a catalog is received, applicants can again call the Fax-On-Demand program to request a specific document, such as the job announcement, application, or supplement.

To emphasize the County's commitment to attracting and retaining a diverse workforce, the staff of the central Human Resources Department have significantly increased the number of job fairs and community based events attended.

The County has also established a pool of temporary clerical workers to further complement the pool of applicants as described in Attachment HR-28.-2. This pool provides a source of applicants who are available immediately for temporary assignments without having to use the normal recruitment process.

Additionally, the County has developed employment partnerships with community-based agencies that provide education and counseling services to individuals entering or reentering the workforce. Two such agencies are the Phoenix Job Corps, a program for unemployed and under-educated youths, age 16-24, and the Arizona Women's Employment Education program, a program to assist women reentering the workforce.

The implementation of RecruitMax at Maricopa Integrated Health System (MIHS) during the past year has increased the operational efficiency of the recruitment and employment processes by having a fully automated Resume Scanning and Tracking system.

Plans are currently under way to install kiosks at the MIHS Human Resources Department to enable applicants to submit job applications on-line to minimize the reliance on hard copy forms and applications. This will assist potential applicants who do not have access to the internet.

The Maricopa County Sheriff's Office (MCSO) has instituted many innovative recruitment techniques to attract candidates for both the deputy and detention officer ranks. The office now completes orientation, testing and background checks on-location at job fairs. This has allowed the office to streamline the recruitment process. MCSO promotes career opportunities at non-traditional events such as: the Payson Rodeo, the Woman's Expo, and Boys and Their Toys. MCSO has used billboards and radio advertisements to inform potential candidates. These new techniques and tools have been successful in helping MCSO fill vacant positions in a more timely manner.

Adult Probation utilizes a Spanish Speaking Committee as a resource for developing and implementing strategies for recruiting Spanish-speaking officers and other staff. One strategy has been to expand our job fair recruitment efforts to those job fairs that emphasize Spanish speaking job opportunities.

The Flood Control District has been successful in recruiting exceptional talent by offering part-time positions to retired or ready to retire private sector or Federal engineers. Some examples are the geotechnical and dam safety engineer, a hydraulics engineer and a meteorologist. They have also started a summer intern program with local universities to give students real work experience while hoping to build a future relationship with them over the course of their studies.

In May 1999, the International Personnel Management Association recognized the Maricopa County Human Resource Department as a best practice agency for timely hiring.

29. On average, how many calendar days does it take to fill an open position in county government (from the day the position is posted or advertised until the day the new employee begins work)?

- ☐ Less than 30 days
☒ 30-60 days
☐ 61-120 days
☐ 121-270 days
☐ More than 270 days

30. Please answer the following questions about testing:

a. What percent of jobs in your county require some kind of formal testing? 12%

b. What percentage of jobs in your county require a written test? 16%

c. How often does the testing process delay the hiring process?

- ☐ Always ☐ Often ☒ Sometimes ☐ Rarely ☐ Never

d. Does your county utilize testing to evaluate candidates?

- ☐ No ☒ Yes

e. Does your county allow walk-in testing?

- ☐ No ☒ Yes

If yes, for what percent of positions requiring tests is walk-in testing used? 13.3%

If yes, at any time, or only on certain days and/or at certain times?

- ☐ At any time ☒ Certain days/times

31. Are appointing authorities provided with a certified list?

- ☐ No ☒ Yes

If yes, is the number of candidates that can be included on the certified list limited?

☒ No ☒ Yes (How many? Under the Employee Merit System Rule, Rule 6.03, Certification of Eligibles, Attachment HR-31.-1, and the Judicial Merit Rules, Rule 6.02, Certification of Eligibles, Attachment HR-31.-2, the number of individuals certified may

range from a minimum of five names to a maximum of the entire register. A register is “an official list of eligibles for a particular job that shall be used by the Appointing Authority for selection for employment in the classified service”, described in Attachment HR-31.-3. An eligible is defined as "a person who has attained a passing score on an assessment process for a specific type of job”. The Appointing Authority has the option of identifying a specific number within that range to be certified on the Personnel Requisition, Attachment HR-31.-4.

Under the Law Enforcement Merit Systems Rules, Rules 6.02, Certification of Eligibles, and 6.03, B. Selection of Eligibles, Attachment HR-31.-5, the Appointing Authority will receive, for consideration, the top five names available. However, if more than one position is to be filled, the number certified shall be equal to the number of positions to be filled plus four.)

32. On a scale of 1 to 10 (where 10 is outstanding and 1 is terrible), how would you assess the quality of the employees your county hired in 2000? The HR Department surveyed department directors, elected officials, and judicial offices on the quality of employees hired in 2000. Eighty percent of the departments responded. On average, the response indicated that the quality of employees hired was 7.7.

33. What obstacles stand in the way of hiring new employees in the fastest and most effective manner?

The major obstacle to hiring employees in a timely manner is the decrease in the number of qualified applicants as a result of competition from other employers, other public employers, and the current low unemployment rate.

Another obstacle is the lack of qualified applicants for certain positions. For example, the Superior Court has a difficult time finding qualified applicants for senior administrative positions because many applicants lack the proper equivalent experience in a large court system.

Other positions that are difficult to fill are health care workers due to a shortage of skilled applicants. Some departments, like Correctional Health, have re-analyzed their needs and have restructured their workforce to ensure that lower level duties are assigned to Certified Nursing Assistants. This ensures that Licensed Practical Nurses (LPNs) and Registered Nurses (RNs) are only performing higher level functions.

34. Please describe any changes or innovations in your county’s hiring process since 1999.

The innovations identified in response to question 28 regarding the recruiting process have been successful in expediting the hiring of employees. These innovations have ensured the timely hiring of staff. In addition, the implementation of walk-in testing as described in response to question 30 has also had a positive impact.

35. Is countywide training available?

☐ No ☒ Yes

36. Please answer the following questions about spending on training in your county:

- a. Approximately what were your county's overall training expenditures in FY2000 (including department expenditures and tuition reimbursement)? \$ 4.47 million
- b. What is your county's overall training budget for FY2002 (including department budgets and tuition reimbursement)? \$ 7.4 million
- c. On average, about how much does your county spend on training per county employee? * \$ 323
- d. On average, about how much does your county spend on management training per manager? * \$ 323

* Please explain how you calculated these figures.

Attachment HR-36.-1 shows the detailed calculations utilized to develop these answers. Please contact Suzanne Ashmore in the Office of Management and Budget (602-506-3549) for more information.

37. Does your county's Human Resources department or office centrally track employee participation in training and development courses?

☐ No ☒ Yes

If yes, is there an automated training database maintained at your county's central Human Resources department or office?

☐ No ☒ Yes

38. Do individual departments track employee participation in training and development courses?

☐ No ☒ Yes

If yes, are there automated training databases maintained at the department level?

☐ No ☒ Yes

39. Does the personnel department distribute a training catalog to employees?

☐ No ☒ Yes *If yes, please attach a copy.*

40. Is there an online training catalog available?

☐ No ☒ Yes ☐ Currently being developed (*Projected completion date:*_____)

41. Can employees register for courses online?

☐ No ☒ Yes ☐ Currently being developed (*Projected completion date:*_____)

42. Does your county offer tuition reimbursements?

☐ No ☒ Yes

If yes, how much is provided per course credit? \$ Upon
completion of a course, employees are reimbursed for tuition at 100% for a grade of A, 80% for a B, and 60% for a C as described in A1801, Tuition Reimbursement Policy, Attachment HR-42.-1.

If yes, what is the maximum per employee each year? \$ 5,000

43. Is there money available to support external training (e.g. to cover conference fees, travel expenses, etc.)?

☐ No ☒ Yes

If yes, on average, how much was provided to employees for training in 2000? \$

Annually each department budgets for its own training needs, and has the flexibility to increase training dollars by reallocating funds within the department's lump sum budget. This flexibility give departments the freedom to address training issues as they surface, without waiting until the next fiscal year's budget.

44. Does your county's central Human Resources department or office conduct training needs assessments?

☐ No ☒ Yes

If so, how often are training needs assessments conducted for:

...the central county government?

- ☐ Never
- ☐ Annually
- ☒ Semi-annually
- ☐ Biannually
- ☐ Other (*Please specify:* _____)

...county departments?

- ☐ Never
- ☒ Annually
- ☐ Semi-annually
- ☐ Biannually
- ☐ Other (*Please specify:* _____)

...job classifications?

- ☐ Never
- ☐ Annually
- ☐ Semi-annually
- ☐ Biannually
- ☒ Other (*Please specify:* These assessments are conducted at the department level.
_____)

45. In what other ways does your county determine its training needs?

Training opportunities are delivered both centrally by Human Resources, as well as delivered in departments to meet specific needs. Therefore training needs are assessed at both levels.

Training needs are determined centrally, based on organizational goals and expected results. These include County-wide initiatives, policy changes and emerging

technologies. Department strategic plans have also provided valuable insight into the training needs of the organization.

The central Human Resources training office coordinates a network of training officers called the Learning Resource Network (LRN). The LRN is the primary vehicle to identify needs and determine whether central or distributed training is needed. The LRN meets bi-monthly to fulfill its mission to enhance communication and encourage collaboration among training personnel in the planning, development, and scheduling of "core" employee training and development opportunities. Through this network, surveys are distributed and studies conducted. Partnerships are formed for efficient development and delivery of training. Additionally, members bring back information to both their leadership teams and their employees.

Human Resources Training Consultants are available to support departments in further development and assessment of training plans. Consultants use standard models for needs assessments and design subsequent instructional models.

Course evaluations and Employee Development Plans identify additional training needs.

46. In the table below, please indicate who provides each type of training in your county.
(Please check all that apply.)

TYPE OF TRAINING:	Provided centrally	Provided by departments	Provided by contractor
Performance management	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Tuition assistance	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Certified public manager program	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Computer training	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Management training	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Supervisory training	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Diversity/EEO training	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sexual harassment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Communication	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conflict resolution	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Teamwork	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Total Quality Management (TQM)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Leadership	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
New employee orientation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Technical (including apprenticeships)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Customer service	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Basic skills (language, math, literacy, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
First aid and CPR	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Recruiting process	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Testing process	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Compensation administration	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Performance appraisals process	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Discipline process	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Grievance process	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Termination process	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Reward policies and procedures	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
General personnel policies	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Labor relations	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Employee benefits	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other: <u>Wellness & Personal Development</u> <u>Classes, lunch time brown bags on various</u> <u>topics, including technology.</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

47. What obstacles stand in the way of your county's training and development efforts?

The size of Maricopa County (9,222 square miles) can hinder employees at outlying sites from traveling to central training locations, and/or employees workload may conflict with the dates and times of course offerings. In order to reach these employees, the County is providing classes that are accessible from an employee's desktop, via CD, video-conferencing, or teleconferencing.

48. Please describe any changes or innovations in your county's training and development programs since 1999.

Since 1999, many training and development innovations have been implemented throughout the County. In the past two years, Maricopa County has moved beyond the basic concept of training and into employee development and performance improvement at both the County and department levels.

Recognizing the importance of building capable leaders, Maricopa County has developed some significant leadership training programs. Maricopa County's Management Institute (MCMI) is an academy available to all managers and supervisors. The Supervisor School is a 56-hour accredited program, taught by top managers and professionals in subject matter areas, Attachment HR-48.-1. It focuses on leadership development, change management, and strategic alignment. Over 700 supervisors have graduated from this highly successful program through 26 separate classes.

In 1998, MCMI was expanded to include training for Maricopa County managers, Attachment HR-48.-2. The Manager School focuses on building integrity and trustworthiness in leadership. The County Manager, along with other executive management team members, provide leadership and modeling by teaching the program. The three day program has produced 216 graduates to date. Both schools of MCMI are evaluated using standard pre/post assessments, surveys, in-class evaluations, and post-course evaluations that measure the transfer of knowledge to the workplace. Continuing development and networking opportunities are offered at annual retreats to all MCMI "alumni". These events revitalize participant's leadership skills and refocus their organizational priorities. In addition to the corporate management development programs, several departments offer job-specific management academies and "survival-skills" orientations.

In recognition of the ever-changing development needs of Maricopa County employees, the Employee Course Catalog is published bi-annually. Course offerings are available to any County employee and can be used to fulfill the needs identified in each employee's development plan. The county-wide catalog offers 291 courses to meet the diverse personal, professional, and performance needs of employees from all departments. Certificate programs provide an opportunity for employees to complete a selection of courses designed to targeted specific job skills.

Over 100 adjunct faculty teach courses offered in the Employee Course Catalog. Some of the faculty are professional educators from County departments, others are recruited and trained from departments to provide facilitation and training in topics related to their field of expertise. Faculty skills are developed through certification programs and enhanced through skill-building retreats. Besides these corporate training programs, several large county departments produce full training catalogs that deliver numerous department-specific courses in healthcare, judicial studies, and law enforcement.

Within the past two years Maricopa County has planned for and invested in automated training tools that improve access to training regardless of work schedules and locations. The most recent innovation was introduced in June. The Online Learning Center

provides 24-hour access to registration, training transcripts, and course catalogs. In addition to web-based courses, videoconferences, teleconferencing, videos, chat rooms and discussion forums are now available and are used as alternative delivery methods. On-line journals, magazines, and customer educational materials are delivered via the intranet and internet. Blended learning approaches using classroom and alternative delivery has enabled the development of creative and efficient training. An example is the New Employee Orientation. The program has been shortened by 25% through the reengineering of the delivery system via the Intranet, video, and an interactive tradeshow environment.

One of the most robust benefits offered to Maricopa County Employees is the Tuition Reimbursement program. The program provides financial incentives to employees for successful completion of job-related university courses through a reimbursement benefit. The County commits over a million dollars per year to this program. The County coordinates with three local universities to offer convenient onsite certificate, undergraduate, and graduate degree programs. These degree programs provide necessary competencies for public employees. Maricopa County also encourages employees to continue their education through educational fairs that are coordinated bi-annually. These fairs bring multiple colleges to Maricopa County to help employees plan for their educational futures. Other educational assistance programs and career development are offered by departments. Finally, our partnerships with local educational institutions create opportunities for intern programs. Intern programs in corporate management and the health system provide other new ways to educate and develop entry level personnel and recruit for key positions.

Classes and degree programs are not the only means of development for Maricopa County employees. A new Mentoring Program is in the pilot stage. This program pairs management and professional mentors with proteges from various departments. Ten pairs of employees were recruited and trained for this exciting pilot program. The mentors learn valuable coaching skills while assisting proteges in the identification and achievement of professional goals through an interpersonal process.

Many departments have implemented performance improvement training programs designed to meet department-specific needs. These include: Competency-based training plans, design of custom web-based training, electronic performance support systems, web-based competency assessment, certification programs, customer service initiatives, video training, academies to train specific positions, community partnerships, cross-training, quality initiative programs, enhanced employee development plans, tips and tricks for software applications, lending libraries, and department sponsored conferences.

49. Please answer the following questions about probation:

a. Are newly hired employees subject to a probationary period?

☐ No ☒ Yes

b. If yes, how long is the probationary period, on average? Varies in number of days

If the probationary period varies in length, please explain how.

According to the Employee Merit System Rules, Rule 7.01, and Judicial Merit Rules, 8.01.B., the probationary period for newly hired employees is six months but can be extended by the appointing authority for up to six additional months. See Attachments HR-49.b.-1 and HR-49.b.-2. With the approval of the Human Resources Director, specific positions may have a probationary period of one year.

The Law Enforcement Officers Merit System Rules, Rule 8.01, B, provides for a one year probationary period, Attachment HR-49.b.-3. A request is currently being considered by the Board of Supervisors to allow the Appointing Authority to extend this probationary period for an additional six months.

c. What percent of new employees were fired during the probationary period, in FY2000?

7.9%

d. What percent of new employees left voluntarily during the probationary period, in FY2000?

13.1%

50. How often are permanent, classified employees formally evaluated?

☒ Annually

☐ Semi-annually

☐ Quarterly

☐ No formal evaluation is required

☒ Other (*Please specify:* Prior to or at the close of the probationary period.

51. Which of the following performance appraisal instruments does your county use?
(*Please check all that apply.*)

☒ 360-degree appraisals

- ☒ Appraisals that link individual and organizational performance goals
- ☒ Peer evaluations
- ☒ Customer evaluations
- ☒ Evaluations of teams by supervisors
- ☒ Evaluations of supervisors by subordinates
- ☒ Evaluations of managers by subordinates

52. What obstacles inhibit your county's ability to have an optimal performance appraisal system?

Maricopa County has had a performance management (appraisal) system since 1977, and the County is in the process of updating it. The current system, that has been in effect since 1997, is being replaced in fiscal year 2001-02. This new performance management system will help us move towards an optimal appraisal system.

The existing system has great flexibility, but lacks the overall consistency of content necessary as we move forward. There is no centralized criteria that is utilized countywide, so it varies from department to department. The rating scale is either 3 or 4 levels, and is determined by the department management team. No standard form is required. Any performance appraisal form is accepted by the Human Resources Department, and therefore many different techniques and tools are employed throughout the County. Off the shelf and self-developed tools, including 360 degree appraisals, customer-based, peer-based and team approaches have been utilized. In question number 51, we have checked all boxes, since various departments have utilized all of the techniques listed, although not simultaneously. There is a diversity of forms and methods with the decentralized process. However, the appraisal process cycle being used has been valuable and will be continued. It recommends performance planning, monitoring, coaching and counseling, and ends with an evaluation, all on an annual basis.

The decentralized model we are using today worked in the past, but is not as effective as we would like in a Managing for Results environment. See the Performance Evaluation Report Form, Attachment HR-52.-1. It is imperative that performance appraisals align with strategic plans, performance measures, and program results. It is important for each employee in Maricopa County to understand their personal connection to the department's goals and achievements. We want them to equate their job performance with outcomes and departmental strategic success. With the existing system, this alignment is not always clear.

In November of 2000, a team was developed to revitalize the performance management process in Maricopa County. Our key motive was to drive the Managing for Results process throughout the organization. The new system will tie employee performance

plans and goals/targets directly to the department strategic plan. It will utilize a 5 level rating system with a scale that is consistent countywide. Two rating categories, results and performance factors, are part of the rating scale. All forms will be universally consistent throughout the County. Employee development plans have been added as a component of the new appraisal system, which should provide a career planning tool and will assist us with workplace planning solutions. And finally, a performance plan will be required, ensuring that all phases of the performance cycle are completed and utilized (planning, monitoring, coaching and counseling, and evaluation.) Once all of these changes are implemented, we will be close to attaining our optimal system.

53. Please describe any changes or innovations in your county's performance appraisal system since 1999.

As discussed in question 52, a new performance management system has been developed and will be implemented in fiscal year 2001-02. It will incorporate strategic plans and goals into employee performance plans and appraisals. The new performance management process is an opportunity for the supervisor and employee to discuss duties, expected results, successful work behaviors and employee development needs.

The most essential component of the new appraisal tool is the alignment worksheet. The supervisor and employee, during the performance plan development process, select the programs, activities, and services (PAS) from the strategic plan to which the employee will contribute. From this list, the employee and supervisor develop an individualized performance purpose statement. This statement stresses to the employee the importance of attaining departmental goals and their role in achievement of those goals. It is also during this discussion that measures and targets are established for the employee.

The second part of the evaluation form is used to evaluate "performance factors" which include elements of essential work behaviors that are directly pertinent to the job. There are nine possible performance factors: teamwork, problem solving, decision-making, motivation, job knowledge, time management, communication, work quality, and adaptability/flexibility. Together, supervisor and employee define the successful behaviors needed in the upcoming performance cycle.

The final new component of the performance plan is an "employee development plan". It will be included in all employee appraisals and will outline training, education, skills development, and other personal development goals for the coming year. This development plan will be an essential tool as we move forward with countywide workplace planning efforts, and will be used as a needs assessment tool for the training division of Human Resources.

54. Please answer the following questions about remuneration in your county.

a. How often does your county use pay-for-performance?

☒ Very often ☐ Often ☐ Sometimes ☐ Rarely ☐ Never

If applicable, please identify which employees it covers.

All Maricopa County employees excluding Elected Officials and Judicial Officers are covered.

b. How often does your county use individual performance bonuses?

☐ Very often ☒ Often ☐ Sometimes ☐ Rarely ☐ Never

If applicable, please identify which employees it covers.

For the past five years, the County has had in place an incentive program, Share the Savings, HR-54-b.-1, that allows departments to recognize employees who have consistently met or exceeded their performance goals, and to encourage continued high performance levels. Department eligibility requirements include: achieving budgeted salary savings and completion of departmental strategic plans using the "Managing for Results" template. If a department is eligible, employee eligibility is determined by the department management team through evaluation of employee performance.

c. How often does your county use group performance bonuses?

☐ Very often ☐ Often ☒ Sometimes ☐ Rarely ☐ Never

If applicable, please identify which employees it covers.

The "Share the Savings" incentive plan discussed in HR-54-b.-1, allows departments to define their criteria for developing a departmental incentive strategy. Many departments have utilized a group performance incentive to reward achievement of specific departmental goals that require teamwork. Eligible employees would be defined by the department management team.

d. How often does your county use cost of living payments?

☐ Very often ☐ Often ☐ Sometimes ☐ Rarely ☒ Never

If applicable, please identify which employees it covers.

e. How often does your county use skill pay?

☐ Very often ☐ Often ☒ Sometimes ☐ Rarely ☐ Never

If applicable, please identify which employees it covers.

An employee may be eligible to receive a multi-lingual pay differential if this skill is utilized while performing job duties 5% of the time or greater. See Attachment HR-54.e.-1. , HR 2416, Pay Differentials.

The Office of the Clerk of the Superior Court has instituted a piece-rate program for specific areas within the Clerk's office in accordance with the Quality Productivity Pay Plan, Attachment HR-54.e.-2.

f. How often does your county use competency pay?

☐ Very often ☐ Often ☒ Sometimes ☐ Rarely ☐ Never

If applicable, please identify which employees it covers.

g. How often does your county use gain sharing?

☐ Very often ☐ Often ☒ Sometimes ☐ Rarely ☐ Never

If applicable, please identify which employees it covers.

Any employee is eligible to submit a suggestion to the "Rewarding Ideas" program. If the suggestion results in a savings to the County, a monetary award is given. Since fiscal year 1995-96, five hundred and seventy-three employees have participated in this program. The Maricopa County's Return on Investment (ROI), based on implementation of the award suggestions, has resulted in \$4,098,036 in savings. Attachment HR-54.g.-1 provides an overall summary of the five year savings.

The Public Fiduciary Department has implemented an incentive program which takes a gainsharing approach toward allocating team incentive awards. Each team member's share is contingent upon increasing the department's revenues by at least 10% over the budget goal. Each staff member who receives a full base rating on their performance evaluation, meets the performance standards of the department, and meets the criteria of the Share the Savings - Performance Incentive Program would be eligible.

The Department of Medical Eligibility (DOME) began a gain-sharing incentive program called Goals, Results, Incentive Program (GRIP) in FY 2000-01, Attachment HR-54.g.-2. The plan shares savings with employees based on achievement of quality and quantity goals established by department management during the development of the strategic plan. DOME is responsible for enrolling indigent individuals into the State of Arizona's Medicaid Program. Timely and accurate completion of their duties results in savings to the County. This plan will then share the savings with employees based on achievement of pre-established goals.

h. How often does your county use annual step increases?

☐ Very often ☐ Often ☐ Sometimes ☒ Rarely ☐ Never

If applicable, please identify which employees it covers.

The Sheriff's Office has a step plan for its detention officers and sworn deputies, which provides for an annual step increase, contingent upon acceptable performance and funding by the Board of Supervisors. The Superior Court of Arizona in Maricopa County has put a step plan in place for probation officers. These groups represent about 13% of our workforce.

55. Please indicate how often your county uses the following non-monetary rewards and compensation.

	Never	Rarely	Sometimes	Often	Very often
a. Job flexibility related to performance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Time flexibility related to performance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
c. Performance recognition program	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Public service recognition week	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Employee of the month	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Commendation awards	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Award from the chief administrative officer	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- | | | | | | |
|---|--------------------------|--------------------------|-------------------------------------|-------------------------------------|--------------------------|
| h. Award from the chief elected officer | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| i. Other (<i>Please specify: <u>Service Pins, Peak Performers Awards</u></i>) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

56. What obstacles in your county inhibit rewarding superior performance of employees?

Legal interpretations of A.R.S. § 38-601 have, until recently, limited the County's ability to provide lump sum performance awards by defining awards based on past performance as gifts or as unallowable additions to the legal salary. The County has now developed a program of incentive awards designed to encourage and improve future performance. A recent interpretation of the statute has allowed the County to begin development of a program to recognize past performance through several mechanisms, including lump sum awards. This will replace the current program.

57. Please describe any changes or innovations in your county's reward and recognition programs since 1999.

Perhaps the most powerful recognition for performance has been the "Share the Savings" program whereby high rated employees have received up to \$1,500 in one lump sum at the end of the fiscal year. About 4,000 employees per year have received this at an annual cost of between \$3 and \$4 million, depending on the year.

The Rewarding Ideas Program, a program to recognize employee suggestions that result in a savings to the County, increased its maximum award from \$1,000 to \$2,500 in 1999.

The Peak Performers Program is designed to allow "on the spot" awards for catching employees acting in extraordinary ways. Samples of the Peak Performer Coupons are included as Attachment HR-57.-1. Funding for this program is provided outside the department's budget, to encourage wide-spread use. The County has encouraged departments to distribute the Peak Performer awards at department-based informal award ceremonies in front of peers. A sample of the Department of Medical Eligibility Coupons are included in Attachment HR-57.-2. Awards available to employees include movie tickets and County Store merchandise.

Since the County is so large and diverse, departments and elected offices are encouraged to provide department level recognition programs. Departments such as the County Attorney, Sheriff, Environmental Services, Office of Management and Budget, and others have annual employee(s) of the year recognition ceremonies. Special event recognition for employees at Board of Supervisor meetings occur throughout the year. Plaques, certificates, retirement mementos are given out at nearly every Board meeting. Employee recognition articles are in all department level newsletters, and the County's Newline publication.

In 1999, the Public Health Department created a Reward and Recognition Action Team comprised of frontline employees and all management levels. This team created and implemented an employee reward program called "Quality in Motion." Each year every employee is given two Quality in Motion coupons which she/he can give to anyone for a thank-you to recognize a job well done. Employees who receive three coupons receive a Quality in Motion auto mug; employees who get 10 coupons get a pair of movie tickets to a local movie theatre, 2 movie rentals or a \$10 restaurant gift certificate.

In both the Recorder's and Elections' Offices, supervisors host an "Employee Appreciation Day." Supervisors bring the fixings and prepare a picnic lunch on an outdoor patio. They've also implemented a "Hot Diggity Dawg" award, a gold hot dog on a pedestal wearing a sombrero. This award is rotated on a weekly basis to an employee who has been nominated by his/her team leaders.

The Human Resources Department uses funding from the Peak Performers Program for spot awards. Each year a different desert animal is selected as the theme. This year's awards are called the Gecko Gold. Each employee is given several coupons which may be awarded to others in recognition of their efforts. Each coupon is worth \$1 and is redeemable for merchandise from the County Store.

The Shining Star Program at Maricopa Integrated Health System (MIHS), implemented November 2000, is an employee recognition program that is used by all MIHS departments. See Attachment HR-57.-3. Patients or employees of MIHS can nominate any employee who has demonstrated service that is "above and beyond". Employees can receive a Shining Star recognition sticker or "funny money" which can be used to purchase designated prizes.

In January of 2001, Maricopa County implemented a countywide service award program, Attachment HR-57.-4. The County awards Service Pins to employees to mark each five years of service completed, through 25 years. Those employees with 30 or more years of service receive a plaque commemorating their County service

58. Please answer the following questions about employee suggestion programs:

a. Does your county have a formal countywide employee suggestion program?

☐ No ☒ Yes

b. If so, how long has it been in place? Since 1984

c. How many suggestions were submitted in FY2000? 66

d. What percentage of your county's departments have employee suggestion programs? 100%

e. How are suggestions submitted?

According to the Rewarding Ideas Program Policy, A1509, employees submit suggestions via the Suggestion Form which is available from department representatives. The form can be dropped into one of several suggestion form boxes located in various buildings throughout Maricopa County.

f. Which of the following rewards are available?

☐ None

☒ Employee recognition

☒ Monetary award (*Please specify amount: \$ up to \$2,500.00*)

☒ Other (*Please specify: Peak Performers Program has a limited in-kind value of \$25 and includes County T-Shirts, County Hats, Movie Tickets, and other nominal awards for high performance that is rewarded on the spot. In FY 2001-02, a new program, Innovations Now, is being proposed. It will reward new ideas that are perhaps smaller than the Rewarding Ideas program, and larger than the "Peak Performers" Program. Employees will be eligible to receive a one-time (up to \$100) net cash award, plus appropriate individual or team recognition, for ideas that help the County become more efficient and save money. Target turnaround time for evaluation and receipt of these rewards will be 30 days or less.*)

59. Please answer the following questions about employee surveys:

a. Does your county have a formal countywide employee survey?

☐ No ☒ Yes

- b. If so, how long has it been in place? 1993
- c. How often is it conducted? Annually since 1997. See HR-59.c.-1 for the Maricopa Integrated Health System Employee Satisfaction Survey and HR-59.c.-2 for the Employee Satisfaction Survey 1999-2000 County Summary Report.

Please attach the results from the last survey and the survey instrument.

- d. What percent of individual departments conduct formal employee surveys? 95%
- e. How have survey results been put to use?

The Employee Satisfaction Survey has gone through a metamorphosis from being primarily for the use of upper County management to now being a management tool for individual departments. Initially, an analysis of the survey data was made at the County level and action plans were developed to address issues primarily related to communications, benefits, and rewards. The County Manager developed goals for the County as a whole and for each department. After the results of the survey are published, department directors are responsible for addressing the five areas of least satisfaction within their departments and are held accountable for developing action plans to address the issues and problems identified. A Management Guide, Attachment HR-59.e.-1, was developed to assist departments address their issues.

The Annual Employee Benefit Satisfaction measures the value employees placed on benefits and identifies areas of concern. Issues covered in that program include: health and dental benefits, vision care, vacation and other leave benefits, long-term disability, life insurance, child and elder-care, and other important issues. As a result of these benefit surveys, changes to Maricopa County's benefit package are made.

The County conducts exit interviews with employees who voluntarily leave County employment. Since its inception in 2000, 80% of employees voluntarily leaving County employment have been interviewed. Phone interviews are conducted using information from the Human Resources Management System. Data collected includes job satisfaction, management/supervisor ratings, reasons for leaving, and information about employment after leaving the County. A sample of the Exit Interview is provided in Attachment HR-59.e.-2. The data is processed, published, and distributed at the end of each quarter for the prior 12 months. Along with the County-wide report, reports are generated for each department that has sufficient numbers of exiting employees to maintain the confidentiality of responses.

60. Please answer the following questions about discipline:

a. Does your county's discipline process vary according to labor contracts?

☒ No ☐ Yes

b. Is there a separate discipline process for at-will or non-classified employees?

☐ No ☒ Yes

If so, please explain the process.

Generally, many of the same principles apply to both our merit system-covered and "at will" employees. Roughly ninety-five percent of Maricopa County employees serve in "classified" or merit system-covered positions. The remaining employees serve in either "unclassified" (generally high-level policy making) positions, contract positions, or serve as temporary employees. Each of these position is "at will." The primary distinction from a disciplinary standpoint is the availability of a post-termination, suspension or demotion hearing. Classified positions are entitled to a hearing before a hearing officer appointed by the merit commission.

Regardless of the type of position in which the employee serves, Maricopa County strongly encourages the use of a progressive, "positive," approach to employee discipline. This approach ensures that under every circumstance, the employee is afforded the opportunity to understand: (1) what it is that they have done incorrectly; (2) what the employee needs to do to correct performance; and (3) what will happen if the infraction occurs again or the poor performance continues. All management team members are trained in these concepts through our Supervisors' School and through sessions included in our Employee Course Catalog.

61. Please indicate who has primary responsibility for the following disciplinary and termination actions for classified employees. (*Please check all that apply.*)

ACTIONS:	Central HR office	Department HR staff	Department head	Department manager	Supervisor
a. Initial oral reprimand	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

b. Initial written reprimand	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
c. Disciplinary action	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Pay decrease or loss of pay	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Suspension	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Demotion	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Transfer	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. Termination	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i. Pre-appeal hearing	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

62. To what extent do you agree with the following statements about discipline in your county?

	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
a. Our county's discipline system involves a gradual increase in the severity of punishments for every rule violation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
b. Our county's discipline system allows managers to discipline and remove employees for performance problems quickly.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
c. Our county's discipline system allows managers to discipline and remove employees for behavior problems quickly.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

63. On average, how long does it take to terminate an employee for **performance problems**, from the initial formal decision to fire an employee?

- ☒ Less than 10 days
☐ 11-30 days
☐ 31-120 days
☐ 121-270 days
☐ More than 270 days

64. How long does it take to terminate an employee for **behavior problems**, from the initial formal decision to fire an employee?

- ☒ Less than 10 days
☐ 11-30 days
☐ 30-120 days
☐ 121-270 days
☐ More than 270 days

65. Please answer the following questions about the nature of the termination process:

a. Are there pre-termination hearings in your county? ☐ No ☒ Yes

b. Does your county's legal department review termination requests? ☐ No ☒ Yes

c. Is there a review of the penalty by an external source? ☐ No ☒ Yes

If so, is this only if the employee appeals the penalty? ☒ No ☐ Yes

d. Is there a notification of termination? ☐ No ☒ Yes

If so, how many days notice must your county give employees when terminating them? 3-5 days days

e. Do labor contracts require notice of termination? ☒ No ☐ Yes

If so, please provide and contracts.

f. Do employees have a right to appeal terminations? ☐ No ☒ Yes

If so, how long does the appeals process usually take? Each of Maricopa County's Merit System Rules require that the hearing officer schedule the hearing within 20 days of the filing of an appeal. The hearing officer may grant an extension of the hearing date upon a showing of good cause. Employees frequently request an extension, resulting in a length of 144 days for appeals processed under the Maricopa County Employee and Law Enforcement Merit System Rules and 105 days under the Judicial Employee Merit System Rules. On behalf of the appropriate Merit Commission, an independent third party hears testimony and makes a recommendation to the Commission of whether to affirm, modify, or revoke the proposed action. The Commission then determines whether the action taken shall be sustained or whether the appeal shall be dismissed. days

Are there formal guidelines for this process? ☐ No ☒ Yes

66. Please answer the following questions about your labor agreement grievance process:

- a. Do employees have the right to grieve? ☐ No ☒ Yes
- b. If so, is there a formal grievance process? ☐ No ☒ Yes
- c. At what level are grievances filed? ☒ County level ☒ Department level

d. Approximately how many grievances were filed in 2000? 29 Workforce Professionalism and 12 Employee Concerns complaints.

e. In 2000, what was the average length of time required to resolve a grievance? 19 working days for Workforce Professionalism complaints and 15 working days for Employee Concerns complaints.

The Employee Concerns Resolution Program is structured so that employees and management may resolve issues quickly. By eliminating many layers of supervisors and managers in the Employee Concerns grievance process, problems are resolved expeditiously by those persons having the authority to do so. If an employee chooses to appeal an Employee Concerns grievance through the entire process, the time frame is generally one to two months. The time frame is based on a five-business day initiation of the grievance with a five or ten business-day period for each response and appeal. Employee Concerns brought to the final step are resolved in an average of fifteen calendar days after receipt by the Employee Ombudsman.

Allegations brought under the Workplace Professionalism process are handled as quickly as possible with most allegations resolved in nineteen working days.

f. In 2000, how many grievances were upheld? 10 Workforce Professionalism complaints and 3 Employee Concern complaints

g. How large is your county's backlog of grievances? None

h. What can employees grieve?

The Employee Concerns Resolution Program, HR 2405, encourages employees to raise questions or concerns regarding unfair treatment, reprimands, or the terms and conditions of employment. An employee may not use the Employee Concerns process to seek review of decisions or actions for which there is already another available internal review procedure, such as performance management evaluation annual ratings, an action that may be appealed to the Merit Commission (demotion, dismissal, or suspension), or to raise a concern about employment discrimination. The Workforce Professionalism: Avoiding Harassment & Discrimination policy, HR 2406, applies to an allegation of employment discrimination based on race,

religion, age, sexual harassment, color, national origin, disability, retaliation, or gender.

67. Please answer the following questions about your civil service appeals process:

- a. Do employees have the right to appeal? ☐ No ☒ Yes
- b. If so, is there a formal appeals process? ☐ No ☒ Yes
- c. Approximately how many appeals were filed in 2000? 19
- d. How large is your county's backlog of appeals? None
- e. What can employees appeal?

Employees who are merit protected have certain rights as set forth in the Merit Rules. Employees covered by the Merit Rules may appeal a dismissal, suspension, or demotion. A reduction-in-force may also be appealed but only on the grounds that the calculation of the employee's "retention points" was inaccurate and resulted in that employee being selected for separation before another employee.

68. Please answer the following questions about dispute resolution:

- a. Does your county have an office of dispute resolution?
☐ No ☐ Yes, it is court annexed ☒ Yes, under another arrangement
- b. Please list the primary responsibilities of this office.

The Employee Ombudsman, in conjunction with the Superior Court Office of Alternative Dispute Resolution, offers mediation services for employees who wish to mediate a problem rather than file a complaint under the Employee Concerns Resolution Process. An employee may also request mediation at any time without giving up their rights to file a complaint.

c. Are these activities required by labor contracts?

☒ No ☐ Yes

d. If not, which activities are not?

N/A

e. Which of the following dispute resolution techniques does your county use regularly? (*Please check all that apply.*)

- | | |
|--|---|
| <input checked="" type="checkbox"/> Ombudsman office | <input checked="" type="checkbox"/> Facilitation |
| <input type="checkbox"/> Binding arbitration | <input type="checkbox"/> Convening |
| <input type="checkbox"/> Non-binding arbitration | <input checked="" type="checkbox"/> Collaborative problem solving |
| <input checked="" type="checkbox"/> Mediation | <input type="checkbox"/> Dispute panels |
| <input checked="" type="checkbox"/> Negotiation | <input type="checkbox"/> Advisory boards |

f. What has your county done to control or reduce arbitration costs?

While Maricopa County does not utilize a formal arbitration process for dispute resolution, Maricopa County has adopted several strategies to limit the time and costs of the merit hearing process. Every action covered by the merit hearing process, which includes suspension, demotion, and termination, is reviewed by the Human Resources and Office of County Counsel (legal) staff to determine if there are sufficient facts to support the proposed action. This review of the proposed action eliminates appeals that have a marginal opportunity for success.

The contract hearing officers employed for appeals are chosen through a competitive procurement process designed to select only the most qualified candidates for the position. Once chosen, the hearing officers are trained in

Maricopa County employee policies and procedures. This training is designed to reduce the length of hearings by limiting the scope of questioning to relevant inquiries. Shorter hearings conducted by competent professionals has resulted in a faster response time for appellants and reduced costs for the County.

69. What obstacles stand in the way of having a more effective and efficient discipline and termination process in your county?

The most significant obstacles in the way of a more effective and efficient discipline and termination process are statutory. A.R.S. Sec. 11-356 dictates specific steps a department must take when demoting, suspending, or terminating an employee. The formality of these requirements, the length of time to complete the process, and the interruption of departmental business can dissuade a department from taking these disciplinary actions even when appropriate.

Other obstacles include those commonly associated with large and diverse organizations. Obtaining a level of consistent disciplinary practice in and between departments is a challenge, as is the training of new management staff. Additionally, finding ways to discipline employees in a positive way can be difficult. We want to discourage unacceptable behavior without “punishing” the employee. We approach this through training and the performance management system. Both approaches emphasize the importance of communicating expectations and acknowledging unacceptable behavior before it becomes habitual.

70. Please describe any changes or innovations in your county’s discipline and termination process since 1999.

Maricopa County recently evaluated disciplinary issues with a focus on prevention rather than reaction. The Human Resources department saw the need for supervisors to have the tools necessary to prevent and address issues that could result in performance or behavior problems. In order to do this, HR reviewed the training it provides to

supervisors and managers, and revised the emphasis of classes offered on Informal/Formal Discipline, Workforce Professionalism: Avoiding Harassment & Discrimination, and the Predisciplinary Action Hearing. The focus is now on the practical application of the progressive disciplinary process rather than merely the theory of conducting discipline. This has resulted in changes to classes offered through the County catalog, Maricopa County Management Institute's Supervisory School, and "on demand" training. Web-based training for supervisors on prevention of harassment in the workplace and the warning signs of violence in the workplace are also available.

Employee Relations and the Employee Ombudsman recently implemented the Work Climate Assessment Program. Human Resources looked at ways to proactively address the underlying causes of employee concerns and issues instead of waiting until performance or behavior problems manifested. What resulted was the development of a program to assist managers and supervisors in bridging the gap between knowledge of a problem and implementing a corrective action plan by providing specific, concrete details about issues effecting employees. During the assessment, employees are provided a safe forum in which to speak out about problems and provide solutions. The Work Climate Assessment Program has resulted in departments implementing such recommendations as staffing analysis, performance planning, management retreats, a review of procedures for funding and awarding special duty assignments, and a review of promotional opportunities and probationary requirements.

Oftentimes disciplinary issues may involve health or medical issues, which can cause or aggravate behavior or performance problems. In those instances where such a situation may exist, Case Managers are consulted to help separate the medical issues from the disciplinary issues to assure that each are addressed appropriately. The Case Management Program, implemented in 1996, was an innovative way for the County to addresses employee health related issues. Case Managers provide employees, supervisors, and managers assistance in dealing with health issues that may be related to the Family Medical Leave Act (FMLA) or Americans with Disabilities Act (ADA). The program was designed to meet the needs of employees and managers in an effort to identify win-win solutions. Case Managers, along with Employee Relations staff, assess each situation from a holistic perspective by consulting with Ergonomics and Employee Assistance Program (EAP) staff. The Ergonomics Program provides work-site evaluations and job task analysis to reduce the risk of musculoskeletal disorders which can impact an employee's behavior and performance. The EAP Program provides an opportunity for employees to receive assistance in resolving general psychological problems, which may be effecting workplace issues.

71. What obstacles stand in the way of having more effective and efficient grievance and appeals processes in your county?

The challenges in Maricopa County are typical of any complaint system of a large work force. In spite of training and publicity, many employees in remote work areas remain uninformed of the Workforce Professionalism and Employee Concerns programs and therefore do not take advantage of these programs. Overall, the two complaint procedures are effective in enforcing and resolving problems in the workforce and employees have expressed satisfaction with them in the last three Employee Satisfaction Surveys.

72. Please describe any changes or innovations in your county's grievance and appeals processes since 1999.

In the last five years, Maricopa County has implemented several changes to resolve employee complaints. The office of the Employee Ombudsman was established in 1996 and reports directly to the County Manager. The Employee Ombudsman is a person to whom employees can address any type of workplace problem, without involvement in a formal complaint process. Both processes, the Employee Concerns Resolution Program, HR 2405, and Workplace Professionalism: Avoiding Harassment & Discrimination, HR 2406, were revised in 1998 to allow for a more streamlined resolution of issues. In 1999, the Employee Mediation Program became available to employees involved in a workplace dispute. Employees may avail themselves of any or all of these processes when trying to resolve problems at work.

73. Please answer the following questions about collective bargaining agreements:

- a. Does your county have an Office of Labor Relations? ☒ No ☐ Yes

If so, describe its mission and jurisdiction (*or attach relevant documents*).

- b. What percentage of your employees are covered by labor contracts? 0 %
- c. With how many individual unions are contracts made? N/A
- d. With how many separate bargaining units are contracts made? N/A
- e. How many separate labor agreements are there in your county? N/A
- f. What percentage of your county's employees normally covered under labor agreements are currently operating under an expired contract? N/A %
- g. Are managers covered by labor agreements? ☒ No ☐ Yes
If so, what percentage of managers are covered? N/A %
- h. Do any of your labor agreements call for a closed shop? ☒ No ☐ Yes
- i. Are employees covered by labor contracts allowed to strike? ☒ No ☐ Yes
If so, how many strikes have occurred in the past three years? N/A

Please specify which employees are permitted to strike.

N/A

- j. Do statutes restrict organizing at the local government level? ☒ No ☐ Yes
If so, please describe the restrictions.

74. Please check all of the following that are subject to labor negotiation in your county, and indicate the number of labor contracts addressing each.

Policy:	# of contracts:	Policy:	# of contracts:
<input type="checkbox"/> Grievance	<u>N/A</u>	<input type="checkbox"/> Discipline	<u>N/A</u>
<input type="checkbox"/> Termination	<u>N/A</u>	<input type="checkbox"/> Recruiting	<u>N/A</u>
<input type="checkbox"/> Hiring	<u>N/A</u>	<input type="checkbox"/> Performance evaluation	<u>N/A</u>
<input type="checkbox"/> Merit pay	<u>N/A</u>	<input type="checkbox"/> Performance bonus	<u>N/A</u>
<input type="checkbox"/> Training	<u>N/A</u>	<input type="checkbox"/> Tuition reimbursement	<u>N/A</u>
<input type="checkbox"/> Lay off	<u>N/A</u>	<input type="checkbox"/> Probationary period	<u>N/A</u>
<input type="checkbox"/> Benefits	<u>N/A</u>	<input type="checkbox"/> Other (<i>Please specify:</i>	<u>N/A</u>
<input type="checkbox"/> Testing	<u>N/A</u>	_____)	

75. In which of the following labor-management partnerships is your county involved:
(*Please check all that apply.*)

<input type="checkbox"/> Physical work environment	<input type="checkbox"/> Reengineering
<input type="checkbox"/> Health and safety issues	<input type="checkbox"/> Budget/Staffing levels
<input type="checkbox"/> Family friendly policies	<input type="checkbox"/> Technology utilization
<input type="checkbox"/> Career development	<input type="checkbox"/> Procurement
<input type="checkbox"/> Reorganization	<input type="checkbox"/> Outcomes/Goals
<input type="checkbox"/> Privatization	<input type="checkbox"/> Strategic planning
<input type="checkbox"/> Customer service	<input type="checkbox"/> HR reform efforts
<input type="checkbox"/> Productivity	<input checked="" type="checkbox"/> Other (<i>Please specify:</i> <u>See Answer to Question 76.</u>)

76. How does your county evaluate the effectiveness of these partnerships? (*Please attach any relevant documentation.*)

Maricopa County does not have collective bargaining agreements with any labor organizations. Nonetheless, county employees are not prohibited from participating in labor organization activities. Furthermore, Maricopa County policy does permit employees to contribute dues to employee organizations through a payroll deduction.

Maricopa County has worked very hard to build a working relationship with these organizations over the past five years. Representatives of the American Federation of State and Municipal Employees local, the Deputies Association, and the Fraternal Order of Police were included in the discussion regarding the substantial redesign of Maricopa County's merit rules, compensation and employee leave plans, and benefits programs in 1997.

In addition, employees regardless of whether they formally participate in an employee organization or not, are actively encouraged to provide input into the management decision making process. For example, following the redesign of Maricopa County's employee benefits package in 1997, an employee-based Benefits Committee was established to monitor the performance of the changes and to provide input into future modifications. This committee is still providing operational input.

Maricopa County primarily evaluates the effectiveness of these efforts through the use of its employee satisfaction survey instrument. This survey is conducted annually, and specifically monitors the effectiveness of our management teams efforts. Department management is required to follow-up on problem areas in each department. Findings are openly discussed at employee meetings, presented by the Research and Reporting department, who administers the actual surveys. The County's Human Resources Department and Employee Ombudsman also monitor the concerns raised by employees in the context of grievance and merit appeals to determine whether efforts to improve employee-management relations in discrete areas of departments are warranted.

An Employee Benefit Satisfaction Survey is also conducted on an annual basis. This survey ensures that County provided employee benefits are meeting the needs of our employees. Issues covered in that program include: health and dental benefits, vision care, vacation and other leave benefits, long-term disability, life insurance, child and elder-care, and other important issues. As a result of these benefit surveys, changes to Maricopa County's benefit package are made.

As discussed in question 70, HR Employee Relations and the Employee Ombudsman developed and implemented the Workplace Climate Assessment Program. This program provides a proactive approach to solving employee concerns. Recently, an extensive Work Climate Assessment for the Library District was completed. Approximately forty employees were interviewed individually about several topics ranging from conflict management and communication to ergonomics and safety. Upon completion of the study, the Library Director made several changes based upon employees' suggestions. Those changes included a time and motion study for library assistants to determine if employees handled the materials effectively; an increased presence for managers and supervisors at nights and on weekends; an assessment by Risk Management of areas identified by employees as safety concerns; institution of yearly all-hands meetings; and an enhanced Director's Newsletter to be made available at all library locations. Employees have reported an increase in job satisfaction since these changes have been instituted.

All of the partnerships described above are evaluated for effectiveness through the County's various employee survey instruments. This process of continuing to monitor employee satisfaction has been a tremendous tool for Maricopa County, and is now a big component of the employees' expectations.

77. What is the total number of court challenges that have been brought by organized labor against your county in the last three years? N/A
78. How many of these have been resolved to date? N/A
79. On average, how many days does it take the county to reach agreement on contracts? N/A
80. Please tell us about the most constructive labor-management relationship you have.

Although Maricopa County does not have formal (contractual) relationships with bargaining or employee representatives, we try to maintain positive and collaborative relationships with these representatives. Currently, 700 Maricopa County employees pay union dues to AFSCME and the Deputies Law Enforcement Association through payroll deduction. The Maricopa Sheriff's Office deputies account for 500 of these memberships.

However, employees have many ways and intermediaries to communicate their interests, concerns and grievances to all levels of management. The Employee Ombudsman and Employee Relations consultants are available to discuss both formal and informal issues with employees. These employee helpers are also available to conduct Work Climate Assessments to help management identify and understand employee issues. The independent Employee Merit Systems Commission is available to hear formal appeals of demotions, suspensions or terminations.

Performance Management planning sessions and semi-annual progress reviews are required by policy in order to maintain open communication between employees and their supervisors. The annual Employee Satisfaction Survey is another tool for employees to give anonymous feedback to both departmental and County management. In addition to responding to general satisfaction questions, employees are encouraged to provide narrative comments that are centrally compiled by the Research & Reporting department in order to maintain employee anonymity. All of these comments are read by management and expected to be responded to with positive changes as appropriate.

81. What obstacles stand in the way of having optimal labor-management relationships in your county?

Under Arizona law, County employees are not allowed to bargain collectively. The Board of Supervisors and County administration are aware that essentially most of the authority over salary, benefits, and conditions of employment are on the management side. Because of prior abuse of some of this authority, management has had low credibility with long-time County employees. Political decisions regarding the hiring or termination of department directors, former County managers without full authority, dysfunctional relationships among elected officials, and an operating budget deficit in 1993-1994 had a damaging effect on employee morale. Correction of the deficit required layoffs as well as a three-day involuntary furlough without pay for many in the workforce. This was compounded by a salary structure that was 12-15% behind the market in most categories. In 1995, the annual turnover was over 19%. Attitudes toward County management initiatives were greeted with cynicism. As a result of a variety of changes over six years, County management believes that all but a minor residual of that negative culture still exists. That negativity is referred to as “old County culture.”

Obviously, some of the people who could not respond to improved expectations for productivity and a positive attitude have retired or moved on. Over the past five and a half years, the entire management team, with the exception of two directors, has been replaced. These managers have had complete freedom to hire their deputies, assistants, and middle managers in order to create a more dynamic management team and management ethic. We have found that good people attract and hire other good people, who, in turn, hire other good people. Through these positive changes, we are creating a new, vigorous County culture.

The Board of Supervisors and County management understand that they have to represent employees “on both sides of the table”. Management must look out for employees’ interests, not just as a statement of good intention but in the reality of personnel policies. To safeguard these interests while maintaining a competitive organization, management must be mindful of and responsive to employee satisfaction issues. This compels departments to look at employee turnover rates and respond affirmatively to employee satisfaction issues identified in department surveys taken each year. Employees have learned that there are no undiscussable issues within the

County. The County Administrative Officer meets directly with employees at "all hands" meetings and answers employee questions in monthly Newsline articles. The most pointed, difficult questions are discussed at the MCMI Supervisor and Management Schools. Roundtable discussion groups, employee townhalls, and other open forums allow employees to provide input to management and the Board of Supervisors in order to make decisions affecting the labor-management relationship.

Maricopa County's philosophy is to avoid a typical polarized management point of view and opposite labor point of view. The County attempts to create a synergized positive single point of view for the County as a whole. Arizona laws create a unique experimental opportunity to provide for a very wide open, success-oriented organization. It allows for individual growth and development, merit hiring, merit promotion, and merit compensation for every employee. Employee's individual success is not held back in lock-step by the across-the-board limits of a collective bargaining agreement. Over the past three years, average employee hourly rates have increased 18.6%, and currently the average salary for our employees is approximately 92% of the average midpoint. Our system encourages the use of training, incentives, employee development plans, and employee involvement committees to tap into the employees' highest desires for public service and personal achievement.

82. Please describe any changes or innovations in labor-management that have occurred in your county since 1999.

Maricopa County has embarked on a variety of improvements to the labor management environment over the past six years. This includes continuing to interact with employees on a variety of issues that affect them, soliciting their ideas through various working committees and survey instruments, and solidifying an "emotional commitment" to work at the County. Sometimes these involve specific programs with committees and sometimes they simply involve in-depth communication. We believe that it is impossible to provide employees with too much information or with too much communication on the status of County projects, finances, or direction. We use a variety of communication tools including the countywide newsletter, intra-departmental, and elected office newsletters, broadcast e-mails, paycheck flyers, and the County Administrative Officer (CAO) appearing in person at employee meetings. The CAO is always open for questions on any subject.

In the last few years, the most tangible change to employees is the upgrading of County salaries and benefits. After years of low salary increases, the average salary for Maricopa County employee is approximately 92% of the market midpoint. In addition, the County changed its leave plan to go to a paid-time off program as opposed to the standard vacation/sick leave banks. This involved taking half of the entry level 10 days of sick leave and moving them over to the vacation leave balance

immediately giving the new hire 15 days of paid time off. Employees are expected to take a paid-time off day for one-day emergencies, including one or two-day illnesses, but would have the use of that time on a “no-notice” basis to handle all kinds of emergencies. This change in policy was explained and discussed in numerous employee round tables before being implemented, and it has been well received.

Other continued innovations to enhance performance and modifications to the compensation plan include using targeted incentives in various departments--Clerk of the Court, Public Fiduciary, Medical Eligibility, and Maricopa Integrated Health Systems--continue to evolve in response to competitiveness in the job market.

In addition, the County is interested in employee grievances, concerns, and treatment on the job. The Employee Ombudsman, reporting directly to the CAO, is called upon to review issues ranging from promotions, job ratings, and allegations of preferential treatment and discrimination. All formal complaints involving EEO potential issues are promptly investigated and resolved by Human Resources Employee Relations staff. Occasionally, employee issues arise within a department that the County Administrative Officer has to address directly. Within the last few years, the CAO has responded personally when issues of diversity, fair treatment, job performance ratings and promotions were raised at both the Flood Control District and the Planning and Development department. For employees experiencing interpersonal job conflicts, the employee Ombudsman offers coaching and mediation services. Finally, Human Resources provides training for all employees on diversity issues, sexual harassment, or gender or ethnic discrimination.

A major initiative to improving performance with an additional goal to get rid of the “Old County” culture was the formation of the Emotional Commitment agenda at a management team retreat in 1997. Included in this strategy were 16 items:

Five-Year Emotional Commitment Agenda

1. Internal service departments must perform excellent customer service for County employees.
2. We must recruit and select public service-oriented people to join our work force.
3. We must seek to enhance Maricopa County’s image as an employer.
4. We must improve total employee compensation over the next five years.
5. We must communicate big picture plans to employees regularly.
6. We must bring new employees into the County culture rapidly.
7. We must celebrate and ceremonialize positive events with our employees.

8. We must continue to evolve Human Resources (HR) policies to enhance life/work issues for employees.
9. We must continue measuring outputs and outcomes to ensure value to taxpayers. We must score ourselves against the best in the region for delivering value and publicize the results.
10. We must seek outside recognition for County services and programs.
11. We must create appropriate countywide employee committees to institutionalize employee involvement in several important areas: 1. social events, 2. employee professional growth for training and development, 3. employee recognition, 4. social responsibility, 5. employee benefits advisory council, and 6. employee wellness.
12. We must challenge ourselves and each other to do better on work processes.
13. We must follow-up on personal performance plans and merit pay for performance.
14. We must train all employees on the code of ethics and stewardship statement.
15. We must conduct Employee Satisfaction survey follow-up plans in each department.
16. We must acknowledge our remaining deficiencies and develop plans to alleviate them.

All department directors reporting to the CAO were required to institutionalize the Emotional Commitment agenda and complete it. Over the past four and a half years progress has been made in every one of these agenda items. In all of these employee committees, regular rank and file volunteers joined management to provide a greater perspective.

This is the kind of progressive labor-management that is possible when employees are respected for the value that they bring, the ideas that they have, the desire for improvement and change that they demonstrate. These efforts focused on ideas and not who has the authority, title or hierarchical power in the organization. This is our methodology for achieving a high performance organization.

Thank you for your valuable assistance in providing this information.

Please provide the names, contact telephone numbers, and email addresses for those who completed this section of the survey:

Name: Janice Stratton Job Title: Merit Systems
Administrator
Phone: (602) 506-5007 Email: jstratto@mail.maricopa.gov

Name: Sandi Wilson Job Title: Deputy County
Administrator
Phone: (602) 506-2623 Email: swilson@mail.maricopa.gov

As you know, Governing Magazine will follow up with interviews on the topics covered in this survey. To make sure that the proper people are interviewed, please provide suggestions and contact numbers below.

Who would you recommend that we contact for interviews for an overview about human resources management in your county?

Name: Sue Wybraniec Job Title: Human Resources
Director
Phone: (602) 506-4582 Email: swybrani@mail.maricopa.gov

Name: David Smith Job Title: County Administrative
Officer
Phone: (602) 506-3571 Email: dsmith@mail.maricopa.gov

Please note if separate interviews should be conducted for workforce planning, training, labor management, classification and compensation, hiring, or discipline and termination.

Name: Robert Howery Area of expertise: Workforce Planning

Job Title: Employment Services Division Manager Phone: (602) 506-7367
_____ Email: bhowery@mail.maricopa.gov

Name: Deb Stone Area of expertise: Training

Job Title: Training Consultant Phone: (602) 506-0161 Email: dstone@mail.maricopa.gov

Name: MaryLou Sarrault Area of expertise: Compensation

Job Title: Compensation Manager Phone: (602) 506-2392 Email: msarraul@mail.maricopa.gov

Name: Linda Young Area of expertise: Discipline

Job Title: Employee Relations Supervisor Phone: (602) 506-7542
Email: lyoung@mail.maricopa.gov

Name: Gary Bridget Area of expertise: Case Management

Job Title: Case Management Supervisor Phone: (602) 506-8725
Email: gbridget@mail.maricopa.gov